

## **EXHIBIT D**

E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: [Redacted] 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

## 2016 CONSOLIDATED IRS FORMS 1099

ROBERT B LADD  
[Redacted]  
CHAPEL HILL, NC 27517-8421

### YEAR-END MESSAGES

CERTAIN EVENTS SUCH AS COST BASIS ADJUSTMENTS OR RECLASSIFICATIONS OF AN INCOME PAYMENT RECEIVED FROM A MUTUAL FUND, ETF, REIT, OR RIC MAY RESULT IN AN AMENDED 1099 FOR PRIOR OR CURRENT TAX YEARS. PLEASE SEE INSERT FOR DETAILS OR VISIT [WWW.ETRADE.COM/TAXCENTER](http://WWW.ETRADE.COM/TAXCENTER) FOR ANY UPDATES. IF YOU HAVE QUESTIONS PLEASE CALL 800-ETRADE-1 (800-387-2331) OR LOG ON TO YOUR ACCOUNT AND SEND US A SECURE MESSAGE BY CLICKING ON THE CUSTOMER SERVICE LINK AT THE TOP OF THE PAGE.

### TABLE OF CONTENTS

#### Consolidated 1099 Sections:

Summary Information	Page 2
1099-B Proceeds from Broker and Barter Exchange Transactions	Page 3

#### Details:

Investment Details	Page 59
Other Distributions and Charges	Page 83

Your Account did not receive the following Forms:

1099-DIV  
1099-INT  
1099-OID  
1099-MISC

E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: **8290**  
Account Name: **ROBERT B LADD**  
Taxpayer Identification Number: **\*\*\*-\*\*-0092**

Account Executive No: **ET1**

ORIGINAL: **12/31/2016**

Copy B for recipient ☐ 2nd TIN Notice  
☐ FATCA Filing Requirement

## FORM 1099-B TOTALS SUMMARY

### REALIZED GAIN / LOSS SUMMARY

Refer to Proceeds from Broker and Barter Exchange Transactions for detailed information regarding these summary values. The amounts shown below are for informational purposes only.

SHORT-TERM GAINS OR (LOSSES) – REPORT ON FORM 8949, PART I	GROSS PROCEEDS	COST BASIS	MARKET DISCOUNT	WASH SALE LOSS DISALLOWED	REALIZED GAIN OR (LOSS)
Box A (basis reported to IRS)	\$2,684,123.49	\$2,931,296.02	\$0.00	\$409,152.85	(\$247,172.53)
Box A – Ordinary – (basis reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Box B (basis not reported to IRS)	\$155,777.83	\$0.00	\$0.00	\$0.00	\$155,777.83
Box B – Ordinary – (basis not reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Total Short-Term</b>	<b>\$2,839,901.32</b>	<b>\$2,931,296.02</b>	<b>\$0.00</b>	<b>\$409,152.85</b>	<b>(\$91,394.70)</b>
LONG-TERM GAINS OR (LOSSES) – REPORT ON FORM 8949, PART II					
Box D (basis reported to IRS)	\$66,790.91	\$61,294.76	\$0.00	\$0.00	\$5,496.15
Box D – Ordinary – (basis reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Box E (basis not reported to IRS)	\$107,617.29	\$194,629.19	\$0.00	\$13,587.08	(\$87,011.90)
Box E – Ordinary – (basis not reported to IRS)	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
<b>Total Long-Term</b>	<b>\$174,408.20</b>	<b>\$255,923.95</b>	<b>\$0.00</b>	<b>\$13,587.08</b>	<b>(\$81,515.75)</b>

E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: Redacted 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

**RECIPIENT'S Name, Street Address, City, State, and Zip Code**

ROBERT B LADD

Redacted

CHAPEL HILL, NC 27517-8421

**Payer's Federal Identification Number:** Redacted 7612

**Payer's Name, Street, City, State, Zip Code:**

E\*TRADE SECURITIES LLC

PO BOX 484

JERSEY CITY, NJ 07303-0484

**Telephone Number:** (800) 387-2331

Copy B for recipient ☐ 2nd TIN Notice

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS**

**OMB No. 1545-0715**

The information provided below is in accordance with Federal tax regulations and the IRS instructions that govern our reporting requirements. You should review this information carefully when completing your Form 8949 and Schedule D. There may be instances where our reporting requirements will not be consistent with your particular tax accounting position or elections. For these reasons, the IRS requires us to provide you with this reminder: **Taxpayers are ultimately responsible for the accuracy of their tax returns.**

**Covered Short-Term Gains or Losses**

**Report on Form 8949, Part I with Box A checked**

**Box 5:** Box Not Checked (Covered Security)

**Box 3:** Basis Reported to the IRS

**Box 2:** Type of Gain or Loss -Short-Term

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
ACTINIUM PHARMACEUTICALS INC CUSIP: 00507W107	1,000.00000	06/30/2016	07/05/2016	\$1,856.16	\$1,809.00	\$0.00	\$0.00	\$47.16	Box 6: Gross Proceeds
	320.00000	06/30/2016	07/11/2016	\$563.51	\$578.88	\$0.00	\$0.00	(\$15.37)	Box 6: Gross Proceeds
	680.00000	06/30/2016	07/11/2016	\$1,215.54	\$1,230.12	\$0.00	\$0.00	(\$14.58)	Box 6: Gross Proceeds
<b>Subtotals</b>	<b>2,000.00000</b>			<b>\$3,635.21</b>	<b>\$3,618.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$17.21</b>	
AIRBORNE WIRELESS NETWORK COM CUSIP: 00928L102	1,000.00000	08/30/2016	08/30/2016	\$811.99	\$807.99	\$0.00	\$0.00	\$4.00	Box 6: Gross Proceeds
	1,000.00000	08/30/2016	08/30/2016	\$811.99	\$807.99	\$0.00	\$0.00	\$4.00	Box 6: Gross Proceeds
<b>Subtotals</b>	<b>2,000.00000</b>			<b>\$1,623.98</b>	<b>\$1,615.98</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$8.00</b>	

**THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES**

The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: **8290**  
Account Name: **ROBERT B LADD**  
Taxpayer Identification Number: **\*\*\*-\*\*-0092**

Account Executive No: **ET1**

ORIGINAL: **12/31/2016**

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**
**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**
**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
AMERICAN BREWING CO INC COM CUSIP: 024718108	500.00000	05/23/2016	05/23/2016	\$401.25	\$352.47	\$0.00	\$0.00	\$48.78	Box 6: Gross Proceeds
	500.00000	05/23/2016	05/23/2016	\$450.99	\$352.47	\$0.00	\$0.00	\$98.52	Box 6: Gross Proceeds
<b>Subtotals</b>	<b>1,000.00000</b>			<b>\$852.24</b>	<b>\$704.94</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$147.30</b>	
BANK OF AMERICA CORP CUSIP: 060505104	1,000.00000	11/17/2016	11/17/2016	\$20,056.57	\$20,085.19	\$0.00	\$0.00	(\$28.62)	Box 6: Gross Proceeds
	2,000.00000	11/17/2016	11/22/2016	\$40,271.13	\$40,326.39	\$0.00	\$0.00	(\$55.26)	SHORT SALE Box 6: Gross Proceeds
<b>Subtotals</b>	<b>3,000.00000</b>			<b>\$60,327.70</b>	<b>\$60,411.58</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>(\$83.88)</b>	
CANTABIO PHARMACEUTICALS INC COM CUSIP: 13808X104	65.00000	06/30/2016	06/30/2016	\$134.29	\$135.20	\$0.00	\$0.00	(\$0.91)	Box 6: Gross Proceeds
	1,935.00000	06/30/2016	06/30/2016	\$3,997.62	\$4,071.49	\$0.00	\$0.00	(\$73.87)	Box 6: Gross Proceeds
<b>Subtotals</b>	<b>2,000.00000</b>			<b>\$4,131.91</b>	<b>\$4,206.69</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>(\$74.78)</b>	
CELLECTAR BIOSCIENCES INC COM PAR \$0.00001 CUSIP: 15117F302	100.00000	05/20/2016	05/20/2016	\$339.00	\$349.10	\$0.00	\$0.00	(\$10.10)	Box 6: Gross Proceeds
	100.00000	05/20/2016	05/20/2016	\$341.00	\$349.10	\$0.00	\$8.10	(\$8.10)	Box 6: Gross Proceeds
	100.00000	05/20/2016	05/20/2016	\$374.01	\$351.20	\$0.00	\$0.00	\$22.81	Box 6: Gross Proceeds
	100.00000	05/20/2016	05/20/2016	\$375.00	\$351.19	\$0.00	\$0.00	\$23.81	Box 6: Gross Proceeds
	200.00000	05/20/2016	05/20/2016	\$714.01	\$705.59	\$0.00	\$0.00	\$8.42	Box 6: Gross Proceeds
	200.00000	05/20/2016	05/20/2016	\$715.99	\$701.98	\$0.00	\$0.00	\$14.01	Box 6: Gross Proceeds
	200.00000	05/20/2016	05/20/2016	\$716.39	\$705.60	\$0.00	\$0.00	\$10.79	Box 6: Gross Proceeds
	200.00000	05/20/2016	05/20/2016	\$735.99	\$702.40	\$0.00	\$0.00	\$33.59	Box 6: Gross Proceeds
	250.00000	05/20/2016	05/20/2016	\$781.99	\$767.52	\$0.00	\$0.00	\$14.47	Box 6: Gross Proceeds
	250.00000	05/20/2016	05/20/2016	\$807.52	\$767.52	\$0.00	\$0.00	\$40.00	Box 6: Gross Proceeds
	400.00000	05/20/2016	05/20/2016	\$1,389.17	\$1,403.96	\$0.00	\$14.79	(\$14.79)	Box 6: Gross Proceeds
	400.00000	05/20/2016	05/20/2016	\$1,395.57	\$1,403.96	\$0.00	\$8.39	(\$8.39)	Box 6: Gross Proceeds
	200.00000	05/20/2016	05/20/2016	\$461.99	\$438.00	\$0.00	\$0.00	\$23.99	Box 6: Gross Proceeds

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES.  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**

**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
CELLECTAR BIOSCIENCES INC COM PAR \$0.00001 CUSIP: 15117F302	300.00000	05/20/2016	05/20/2016	\$692.99	\$654.00	\$0.00	\$0.00	\$38.99	Box 6: Gross Proceeds
	500.00000	05/20/2016	05/20/2016	\$1,259.98	\$1,090.00	\$0.00	\$0.00	\$169.98	Box 6: Gross Proceeds
	51.00000	05/20/2016	05/20/2016	\$112.59	\$105.06	\$0.00	\$0.00	\$7.53	Box 6: Gross Proceeds
	766.00000	05/20/2016	05/20/2016	\$1,691.12	\$1,574.63	\$0.00	\$0.00	\$116.49	Box 6: Gross Proceeds
	1,000.00000	05/20/2016	05/20/2016	\$2,129.96	\$2,055.66	\$0.00	\$0.00	\$74.30	Box 6: Gross Proceeds
	1,000.00000	05/20/2016	05/20/2016	\$2,195.05	\$2,060.00	\$0.00	\$0.00	\$135.05	Box 6: Gross Proceeds
	1,000.00000	05/20/2016	05/20/2016	\$2,195.05	\$2,163.70	\$0.00	\$0.00	\$31.35	Box 6: Gross Proceeds
	300.00000	05/20/2016	05/20/2016	\$676.49	\$651.00	\$0.00	\$0.00	\$25.49	Box 6: Gross Proceeds
	1,700.00000	05/20/2016	05/20/2016	\$3,833.42	\$3,678.29	\$0.00	\$0.00	\$155.13	Box 6: Gross Proceeds
	2,000.00000	05/20/2016	05/20/2016	\$4,515.91	\$4,380.00	\$0.00	\$0.00	\$135.91	Box 6: Gross Proceeds
	2,000.00000	05/20/2016	05/20/2016	\$4,609.90	\$4,380.00	\$0.00	\$0.00	\$229.90	Box 6: Gross Proceeds
	200.00000	05/20/2016	05/20/2016	\$460.99	\$438.00	\$0.00	\$0.00	\$22.99	Box 6: Gross Proceeds
	1,800.00000	05/20/2016	05/20/2016	\$4,148.91	\$3,906.00	\$0.00	\$0.00	\$242.91	Box 6: Gross Proceeds
	100.00000	05/20/2016	05/23/2016	\$348.00	\$328.10	\$0.00	\$0.00	\$19.90	Box 6: Gross Proceeds
<b>Subtotals</b>	<b>15,417.00000</b>			<b>\$38,017.99</b>	<b>\$36,461.56</b>	<b>\$0.00</b>	<b>\$31.28</b>	<b>\$1,556.43</b>	
CHINA AUTO LOGISTICS INC COM CUSIP: 16936J202	50.00000	06/07/2016	06/07/2016	\$149.50	\$153.57	\$0.00	\$0.00	(\$4.07)	Box 6: Gross Proceeds
	100.00000	06/07/2016	06/07/2016	\$295.80	\$296.42	\$0.00	\$0.62	(\$0.62)	Box 6: Gross Proceeds
	400.00000	06/07/2016	06/07/2016	\$1,215.41	\$1,185.68	\$0.00	\$0.00	\$29.73	Box 6: Gross Proceeds
	500.00000	06/07/2016	06/07/2016	\$1,417.02	\$1,441.13	\$0.00	\$24.11	(\$24.11)	Box 6: Gross Proceeds
	500.00000	06/07/2016	06/07/2016	\$1,432.22	\$1,436.60	\$0.00	\$4.38	(\$4.38)	Box 6: Gross Proceeds
	500.00000	06/07/2016	06/07/2016	\$1,476.97	\$1,436.60	\$0.00	\$0.00	\$40.37	Box 6: Gross Proceeds
	500.00000	06/07/2016	06/07/2016	\$1,512.22	\$1,535.75	\$0.00	\$0.00	(\$23.53)	Box 6: Gross Proceeds
	500.00000	06/07/2016	06/07/2016	\$1,551.97	\$1,436.75	\$0.00	\$0.00	\$115.22	Box 6: Gross Proceeds
	500.00000	06/07/2016	06/07/2016	\$1,596.97	\$1,535.75	\$0.00	\$0.00	\$61.22	Box 6: Gross Proceeds
	950.00000	06/07/2016	06/07/2016	\$2,987.68	\$2,917.92	\$0.00	\$0.00	\$69.76	Box 6: Gross Proceeds
	1,000.00000	06/07/2016	06/07/2016	\$3,122.04	\$3,071.50	\$0.00	\$0.00	\$50.54	Box 6: Gross Proceeds

**THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES**  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: **8290**  
Account Name: **ROBERT B LADD**  
Taxpayer Identification Number: **\*\*\*-\*\*-0092**

Account Executive No: **ET1**

ORIGINAL: **12/31/2016**

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**
**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**

**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
CHINA AUTO LOGISTICS INC COM CUSIP: 16936J202	100.00000	06/07/2016	06/07/2016	\$319.19	\$307.77	\$0.00	\$0.00	\$11.42	Box 6: Gross Proceeds
	900.00000	06/07/2016	06/07/2016	\$2,872.75	\$2,764.35	\$0.00	\$0.00	\$108.40	Box 6: Gross Proceeds
	1,000.00000	06/07/2016	06/07/2016	\$3,194.94	\$3,071.50	\$0.00	\$0.00	\$123.44	Box 6: Gross Proceeds
<b>Subtotals</b>	<b>7,500.00000</b>			<b>\$23,144.68</b>	<b>\$22,591.29</b>	<b>\$0.00</b>	<b>\$29.11</b>	<b>\$553.39</b>	
DEL CATH SYSTEMS INC CUSIP: 24661P500	450.00000	07/28/2016	08/02/2016	\$1,638.87	\$1,785.11	\$0.00	\$0.00	(\$146.24)	SHORT SALE Box 6: Gross Proceeds
	550.00000	07/28/2016	08/02/2016	\$2,003.06	\$2,207.99	\$0.00	\$0.00	(\$204.93)	SHORT SALE Box 6: Gross Proceeds
<b>Subtotals</b>	<b>1,000.00000</b>			<b>\$3,641.93</b>	<b>\$3,993.10</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>(\$351.17)</b>	
FATE THERAPEUTICS INC CUSIP: 31189P102	1,000.00000	01/08/2016	02/04/2016	\$1,901.37	\$2,916.39	\$0.00	\$1,015.02	(\$1,015.02)	Box 6: Gross Proceeds
	1,000.00000	01/08/2016	02/04/2016	\$1,931.37	\$2,768.35	\$0.00	\$753.28	(\$836.98)	Box 6: Gross Proceeds
	1,000.00000	02/03/2016	02/04/2016	\$1,921.37	\$1,753.33	\$0.00	\$0.00	\$168.04	Box 6: Gross Proceeds
	900.00000	01/08/2016	02/17/2016	\$1,354.95	\$2,245.66	\$0.00	\$0.00	(\$890.71)	Box 6: Gross Proceeds
	1,000.00000	02/03/2016	02/17/2016	\$1,505.51	\$1,753.33	\$0.00	\$0.00	(\$247.82)	Box 6: Gross Proceeds
<b>Subtotals</b>	<b>4,900.00000</b>			<b>\$8,614.57</b>	<b>\$11,437.06</b>	<b>\$0.00</b>	<b>\$1,768.30</b>	<b>(\$2,822.49)</b>	
GERON CORP CUSIP: 374163103	100.00000	05/31/2016	05/31/2016	\$294.02	\$290.08	\$0.00	\$0.00	\$3.94	Box 6: Gross Proceeds
	500.00000	05/31/2016	05/31/2016	\$1,466.97	\$1,450.40	\$0.00	\$0.00	\$16.57	Box 6: Gross Proceeds
	4,500.00000	05/31/2016	05/31/2016	\$13,230.16	\$13,053.60	\$0.00	\$0.00	\$176.56	Box 6: Gross Proceeds
	4,900.00000	05/31/2016	05/31/2016	\$14,397.69	\$14,213.92	\$0.00	\$0.00	\$183.77	Box 6: Gross Proceeds
	5,000.00000	05/31/2016	05/31/2016	\$14,641.69	\$14,504.00	\$0.00	\$0.00	\$137.69	Box 6: Gross Proceeds
	5,000.00000	05/31/2016	05/31/2016	\$14,791.68	\$14,504.00	\$0.00	\$0.00	\$287.68	Box 6: Gross Proceeds
<b>Subtotals</b>	<b>20,000.00000</b>			<b>\$58,822.21</b>	<b>\$58,016.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$806.21</b>	

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES.  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**

**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
GEVO INC COM NEW CUSIP: 374396208	200.00000	06/08/2016	06/08/2016	\$227.99	\$230.32	\$0.00	\$2.33	(\$2.33)	Box 6: Gross Proceeds
	500.00000	06/08/2016	06/08/2016	\$578.04	\$572.31	\$0.00	\$0.00	\$5.73	Box 6: Gross Proceeds
	500.00000	06/08/2016	06/08/2016	\$583.04	\$572.31	\$0.00	\$0.00	\$10.73	Box 6: Gross Proceeds
	800.00000	06/08/2016	06/08/2016	\$896.07	\$921.28	\$0.00	\$25.21	(\$25.21)	Box 6: Gross Proceeds
	1,000.00000	06/08/2016	06/08/2016	\$1,064.98	\$1,151.60	\$0.00	\$86.62	(\$86.62)	Box 6: Gross Proceeds
	1,000.00000	06/08/2016	06/08/2016	\$1,135.48	\$1,151.60	\$0.00	\$16.12	(\$16.12)	Box 6: Gross Proceeds
	1,000.00000	06/08/2016	06/08/2016	\$1,181.98	\$1,151.60	\$0.00	\$0.00	\$30.38	Box 6: Gross Proceeds
	1,000.00000	06/08/2016	06/08/2016	\$1,201.98	\$1,151.60	\$0.00	\$0.00	\$50.38	Box 6: Gross Proceeds
	200.00000	06/08/2016	06/08/2016	\$209.84	\$228.65	\$0.00	\$0.00	(\$18.81)	Box 6: Gross Proceeds
	300.00000	06/08/2016	06/08/2016	\$314.75	\$348.94	\$0.00	\$0.00	(\$34.19)	Box 6: Gross Proceeds
	500.00000	06/08/2016	06/08/2016	\$524.59	\$589.51	\$0.00	\$0.00	(\$64.92)	Box 6: Gross Proceeds
	1,000.00000	06/08/2016	06/08/2016	\$1,049.18	\$1,147.74	\$0.00	\$0.00	(\$98.56)	Box 6: Gross Proceeds
	8,000.00000	06/08/2016	06/08/2016	\$8,393.42	\$9,052.97	\$0.00	\$0.00	(\$659.55)	Box 6: Gross Proceeds
	200.00000	06/08/2016	06/08/2016	\$209.84	\$224.49	\$0.00	\$14.65	(\$14.65)	Box 6: Gross Proceeds
	800.00000	06/08/2016	06/08/2016	\$839.34	\$913.85	\$0.00	\$74.51	(\$74.51)	Box 6: Gross Proceeds
	1,000.00000	06/08/2016	06/08/2016	\$1,049.18	\$1,126.92	\$0.00	\$77.74	(\$77.74)	Box 6: Gross Proceeds
	8,000.00000	06/08/2016	06/08/2016	\$8,393.42	\$8,886.39	\$0.00	\$492.97	(\$492.97)	Box 6: Gross Proceeds
<b>Subtotals</b>	<b>26,000.00000</b>			<b>\$27,853.12</b>	<b>\$29,422.08</b>	<b>\$0.00</b>	<b>\$790.15</b>	<b>(\$1,568.96)</b>	
HELIOS AND MATHESON ANALYTIC INC CUSIP: 42327L200	100.00000	06/06/2016	06/06/2016	\$921.98	\$923.80	\$0.00	\$1.82	(\$1.82)	Box 6: Gross Proceeds
	100.00000	06/06/2016	06/06/2016	\$931.98	\$923.80	\$0.00	\$0.00	\$8.18	Box 6: Gross Proceeds
	200.00000	06/06/2016	06/06/2016	\$1,825.97	\$1,847.60	\$0.00	\$21.63	(\$21.63)	Box 6: Gross Proceeds
	200.00000	06/06/2016	06/06/2016	\$1,879.96	\$1,855.20	\$0.00	\$0.00	\$24.76	Box 6: Gross Proceeds
	100.00000	06/06/2016	06/06/2016	\$952.98	\$923.80	\$0.00	\$0.00	\$29.18	Box 6: Gross Proceeds
	100.00000	06/06/2016	06/06/2016	\$952.98	\$927.60	\$0.00	\$0.00	\$25.38	Box 6: Gross Proceeds
	200.00000	06/06/2016	06/06/2016	\$1,905.96	\$1,855.20	\$0.00	\$0.00	\$50.76	Box 6: Gross Proceeds
	50.00000	06/06/2016	06/07/2016	\$333.49	\$353.85	\$0.00	\$0.00	(\$20.36)	Box 6: Gross Proceeds

**THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES**  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**

**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
HELIOS AND MATHESON ANALYTIC INC CUSIP: 42327L200	200.00000	06/06/2016	06/07/2016	\$1,251.98	\$1,339.51	\$0.00	\$65.65	(\$87.53)	Box 6: Gross Proceeds
	100.00000	06/06/2016	06/07/2016	\$629.41	\$660.76	\$0.00	\$0.00	(\$31.35)	Box 6: Gross Proceeds
	100.00000	06/06/2016	06/07/2016	\$629.41	\$710.76	\$0.00	\$81.35	(\$81.35)	Box 6: Gross Proceeds
	50.00000	06/06/2016	06/07/2016	\$331.00	\$355.38	\$0.00	\$24.38	(\$24.38)	Box 6: Gross Proceeds
	100.00000	06/06/2016	06/07/2016	\$661.99	\$740.29	\$0.00	\$0.00	(\$78.30)	Box 6: Gross Proceeds
	100.00000	06/07/2016	06/07/2016	\$651.99	\$658.94	\$0.00	\$0.00	(\$6.95)	Box 6: Gross Proceeds
	50.00000	06/07/2016	06/07/2016	\$333.49	\$329.47	\$0.00	\$0.00	\$4.02	Box 6: Gross Proceeds
	100.00000	06/07/2016	06/07/2016	\$703.99	\$658.94	\$0.00	\$0.00	\$45.05	Box 6: Gross Proceeds
	100.00000	06/07/2016	06/07/2016	\$710.17	\$658.94	\$0.00	\$0.00	\$51.23	Box 6: Gross Proceeds
	50.00000	06/07/2016	06/07/2016	\$331.00	\$329.47	\$0.00	\$0.00	\$1.53	Box 6: Gross Proceeds
<b>Subtotals</b>	<b>2,000.00000</b>			<b>\$15,939.73</b>	<b>\$16,053.31</b>	<b>\$0.00</b>	<b>\$194.83</b>	<b>(\$113.58)</b>	
IDI INC CUSIP: 44938L108	500.00000	01/07/2016	01/08/2016	\$2,999.99	\$3,230.00	\$0.00	\$0.00	(\$230.01)	Box 6: Gross Proceeds
	500.00000	01/07/2016	01/12/2016	\$2,868.54	\$3,230.00	\$0.00	\$0.00	(\$361.46)	Box 6: Gross Proceeds
<b>Subtotals</b>	<b>1,000.00000</b>			<b>\$5,868.53</b>	<b>\$6,460.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>(\$591.47)</b>	
IMMUNOMEDICS INC CUSIP: 452907108	1,000.00000	06/30/2016	06/30/2016	\$2,301.95	\$2,240.80	\$0.00	\$0.00	\$61.15	Box 6: Gross Proceeds
	1,000.00000	06/30/2016	07/05/2016	\$2,332.35	\$2,240.80	\$0.00	\$0.00	\$91.55	Box 6: Gross Proceeds
<b>Subtotals</b>	<b>2,000.00000</b>			<b>\$4,634.30</b>	<b>\$4,481.60</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$152.70</b>	
LIVE VENTURES INCORPORATED COMMON STOCK CUSIP: 538142308	75.00000	12/28/2016	12/28/2016	\$2,248.76	\$2,240.25	\$0.00	\$0.00	\$8.51	Box 6: Gross Proceeds
	200.00000	12/28/2016	12/28/2016	\$5,996.69	\$5,975.99	\$0.00	\$0.00	\$20.70	Box 6: Gross Proceeds
	225.00000	12/28/2016	12/28/2016	\$6,746.28	\$6,716.23	\$0.00	\$0.00	\$30.05	Box 6: Gross Proceeds
	225.00000	12/28/2016	12/28/2016	\$6,773.26	\$6,720.75	\$0.00	\$0.00	\$52.51	Box 6: Gross Proceeds
	275.00000	12/28/2016	12/28/2016	\$8,278.42	\$8,230.75	\$0.00	\$0.00	\$47.67	Box 6: Gross Proceeds
<b>Subtotals</b>	<b>1,000.00000</b>			<b>\$30,043.41</b>	<b>\$29,883.97</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$159.44</b>	



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: [REDACTED] 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**

**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
MGT CAPITAL INVESTMENTS INC CUSIP: 55302P202	1,500.00000	06/16/2015	05/10/2016	\$1,085.98	\$650.64	\$0.00	\$0.00	\$435.34	Box 6: Gross Proceeds
	2,000.00000	06/17/2015	05/10/2016	\$1,447.97	\$888.39	\$0.00	\$0.00	\$559.58	Box 6: Gross Proceeds
	2,000.00000	06/17/2015	05/10/2016	\$1,447.97	\$925.59	\$0.00	\$0.00	\$522.38	Box 6: Gross Proceeds
	2,000.00000	06/17/2015	05/10/2016	\$1,447.97	\$925.59	\$0.00	\$0.00	\$522.38	Box 6: Gross Proceeds
	1,201.00000	08/20/2015	05/10/2016	\$869.51	\$332.15	\$0.00	\$0.00	\$537.36	Box 6: Gross Proceeds
	299.00000	08/20/2015	05/10/2016	\$228.43	\$82.69	\$0.00	\$0.00	\$145.74	Box 6: Gross Proceeds
	2,918.00000	08/27/2015	05/10/2016	\$2,229.31	\$710.31	\$0.00	\$0.00	\$1,519.00	Box 6: Gross Proceeds
	5,000.00000	08/28/2015	05/10/2016	\$3,819.92	\$1,209.49	\$0.00	\$0.00	\$2,610.43	Box 6: Gross Proceeds
	500.00000	09/01/2015	05/10/2016	\$381.99	\$121.65	\$0.00	\$0.00	\$260.34	Box 6: Gross Proceeds
	817.00000	09/01/2015	05/10/2016	\$624.17	\$202.41	\$0.00	\$0.00	\$421.76	Box 6: Gross Proceeds
	300.00000	09/01/2015	05/10/2016	\$229.20	\$83.00	\$0.00	\$0.00	\$146.20	Box 6: Gross Proceeds
	1,483.00000	09/01/2015	05/10/2016	\$1,132.99	\$367.40	\$0.00	\$0.00	\$765.59	Box 6: Gross Proceeds
	300.00000	09/22/2015	05/10/2016	\$234.95	\$67.65	\$0.00	\$0.00	\$167.30	Box 6: Gross Proceeds
	470.00000	09/22/2015	05/10/2016	\$383.04	\$106.11	\$0.00	\$0.00	\$276.93	Box 6: Gross Proceeds
	1,017.00000	09/22/2015	05/10/2016	\$828.84	\$229.33	\$0.00	\$0.00	\$599.51	Box 6: Gross Proceeds
	2,400.00000	09/22/2015	05/10/2016	\$1,955.56	\$541.84	\$0.00	\$0.00	\$1,413.72	Box 6: Gross Proceeds
	1,917.00000	09/22/2015	05/10/2016	\$1,555.61	\$432.80	\$0.00	\$0.00	\$1,122.81	Box 6: Gross Proceeds
	8,213.00000	09/22/2015	05/10/2016	\$6,654.02	\$1,854.24	\$0.00	\$0.00	\$4,799.78	Box 6: Gross Proceeds
	8,683.00000	09/22/2015	05/10/2016	\$6,633.67	\$1,958.01	\$0.00	\$0.00	\$4,675.66	Box 6: Gross Proceeds
	10,000.00000	09/22/2015	05/10/2016	\$8,139.83	\$2,255.00	\$0.00	\$0.00	\$5,884.83	Box 6: Gross Proceeds
	1,000.00000	09/24/2015	05/10/2016	\$814.98	\$222.27	\$0.00	\$0.00	\$592.71	Box 6: Gross Proceeds
	4,683.00000	09/24/2015	05/10/2016	\$3,800.17	\$1,040.89	\$0.00	\$0.00	\$2,759.28	Box 6: Gross Proceeds
	100.00000	09/24/2015	05/11/2016	\$79.22	\$22.23	\$0.00	\$0.00	\$56.99	Box 6: Gross Proceeds
	100.00000	09/24/2015	05/11/2016	\$89.12	\$22.23	\$0.00	\$0.00	\$66.89	Box 6: Gross Proceeds
	524.00000	09/24/2015	05/11/2016	\$466.35	\$115.28	\$0.00	\$0.00	\$351.07	Box 6: Gross Proceeds
	5,593.00000	09/24/2015	05/11/2016	\$4,977.66	\$1,243.16	\$0.00	\$0.00	\$3,734.50	Box 6: Gross Proceeds
	43.00000	09/25/2015	05/11/2016	\$37.40	\$9.48	\$0.00	\$0.00	\$27.92	Box 6: Gross Proceeds

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**

**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
MGT CAPITAL INVESTMENTS INC CUSIP: 55302P202	50.00000	09/25/2015	05/11/2016	\$43.99	\$11.02	\$0.00	\$0.00	\$32.97	Box 6: Gross Proceeds
	57.00000	09/25/2015	05/11/2016	\$49.86	\$12.57	\$0.00	\$0.00	\$37.29	Box 6: Gross Proceeds
	131.00000	09/25/2015	05/11/2016	\$104.62	\$28.89	\$0.00	\$0.00	\$75.73	Box 6: Gross Proceeds
	809.00000	09/25/2015	05/11/2016	\$707.90	\$178.38	\$0.00	\$0.00	\$529.52	Box 6: Gross Proceeds
	1,200.00000	09/25/2015	05/11/2016	\$1,047.33	\$264.60	\$0.00	\$0.00	\$782.73	Box 6: Gross Proceeds
	4,200.00000	09/25/2015	05/11/2016	\$3,653.92	\$926.10	\$0.00	\$0.00	\$2,727.82	Box 6: Gross Proceeds
	4,500.00000	09/25/2015	05/11/2016	\$3,949.92	\$992.25	\$0.00	\$0.00	\$2,957.67	Box 6: Gross Proceeds
	5,327.00000	09/25/2015	05/11/2016	\$4,638.11	\$1,174.60	\$0.00	\$0.00	\$3,463.51	Box 6: Gross Proceeds
	3,683.00000	09/25/2015	05/11/2016	\$3,277.79	\$812.10	\$0.00	\$0.00	\$2,465.69	Box 6: Gross Proceeds
	50.00000	09/28/2015	05/11/2016	\$34.01	\$11.28	\$0.00	\$0.00	\$22.73	Box 6: Gross Proceeds
	100.00000	09/28/2015	05/11/2016	\$87.01	\$22.56	\$0.00	\$0.00	\$64.45	Box 6: Gross Proceeds
	300.00000	09/28/2015	05/11/2016	\$261.14	\$67.68	\$0.00	\$0.00	\$193.46	Box 6: Gross Proceeds
	500.00000	09/28/2015	05/11/2016	\$435.29	\$112.79	\$0.00	\$0.00	\$322.50	Box 6: Gross Proceeds
	1,000.00000	09/28/2015	05/11/2016	\$870.68	\$225.59	\$0.00	\$0.00	\$645.09	Box 6: Gross Proceeds
	3,900.00000	09/28/2015	05/11/2016	\$3,393.31	\$879.79	\$0.00	\$0.00	\$2,513.52	Box 6: Gross Proceeds
	4,150.00000	09/28/2015	05/11/2016	\$3,613.74	\$936.19	\$0.00	\$0.00	\$2,677.55	Box 6: Gross Proceeds
	317.00000	09/28/2015	05/11/2016	\$252.01	\$68.92	\$0.00	\$0.00	\$183.09	Box 6: Gross Proceeds
	3,683.00000	09/28/2015	05/11/2016	\$3,206.72	\$830.84	\$0.00	\$0.00	\$2,375.88	Box 6: Gross Proceeds
	3,000.00000	09/28/2015	05/11/2016	\$2,606.95	\$686.60	\$0.00	\$0.00	\$1,940.35	Box 6: Gross Proceeds
	3,317.00000	09/28/2015	05/11/2016	\$2,882.41	\$748.27	\$0.00	\$0.00	\$2,134.14	Box 6: Gross Proceeds
	3,683.00000	09/28/2015	05/11/2016	\$3,200.46	\$800.67	\$0.00	\$0.00	\$2,399.79	Box 6: Gross Proceeds
	800.00000	09/29/2015	05/11/2016	\$627.27	\$164.80	\$0.00	\$0.00	\$462.47	Box 6: Gross Proceeds
	317.00000	09/29/2015	05/11/2016	\$260.99	\$65.30	\$0.00	\$0.00	\$195.69	Box 6: Gross Proceeds
	3,883.00000	09/29/2015	05/11/2016	\$3,086.91	\$799.89	\$0.00	\$0.00	\$2,287.02	Box 6: Gross Proceeds
	5,000.00000	09/29/2015	05/11/2016	\$4,068.92	\$1,029.99	\$0.00	\$0.00	\$3,038.93	Box 6: Gross Proceeds
	100.00000	09/30/2015	05/11/2016	\$90.24	\$21.74	\$0.00	\$0.00	\$68.50	Box 6: Gross Proceeds
	446.00000	09/30/2015	05/11/2016	\$402.47	\$98.48	\$0.00	\$0.00	\$303.99	Box 6: Gross Proceeds



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: **8290**  
Account Name: **ROBERT B LADD**  
Taxpayer Identification Number: **\*\*\*-\*\*-0092**  
Account Executive No: **ET1**  
ORIGINAL: **12/31/2016**

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED****OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
Box 5: Box Not Checked (Covered Security)

Box 3: Basis Reported to the IRS

Box 2: Type of Gain or Loss -Short-Term

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
MGT CAPITAL INVESTMENTS INC CUSIP: 55302P202	754.00000	09/30/2015	05/11/2016	\$680.40	\$165.01	\$0.00	\$0.00	\$515.39	Box 6: Gross Proceeds
	1,183.00000	09/30/2015	05/11/2016	\$973.99	\$258.37	\$0.00	\$0.00	\$715.62	Box 6: Gross Proceeds
	3,500.00000	09/30/2015	05/11/2016	\$2,890.23	\$764.40	\$0.00	\$0.00	\$2,125.83	Box 6: Gross Proceeds
	5,700.00000	09/30/2015	05/11/2016	\$5,186.88	\$1,258.61	\$0.00	\$0.00	\$3,928.27	Box 6: Gross Proceeds
	1,683.00000	09/30/2015	05/11/2016	\$1,444.94	\$356.79	\$0.00	\$0.00	\$1,088.15	Box 6: Gross Proceeds
	5,317.00000	09/30/2015	05/11/2016	\$4,564.93	\$1,161.23	\$0.00	\$0.00	\$3,403.70	Box 6: Gross Proceeds
	3,317.00000	09/30/2015	05/11/2016	\$2,948.75	\$703.20	\$0.00	\$0.00	\$2,245.55	Box 6: Gross Proceeds
	6,683.00000	09/30/2015	05/11/2016	\$5,941.06	\$1,462.53	\$0.00	\$0.00	\$4,478.53	Box 6: Gross Proceeds
	6,200.00000	09/30/2015	05/11/2016	\$5,945.68	\$1,369.02	\$0.00	\$0.00	\$4,576.66	Box 6: Gross Proceeds
	800.00000	10/01/2015	05/11/2016	\$782.84	\$176.80	\$0.00	\$0.00	\$606.04	Box 6: Gross Proceeds
	6,200.00000	10/01/2015	05/11/2016	\$6,067.02	\$1,357.80	\$0.00	\$0.00	\$4,709.22	Box 6: Gross Proceeds
	1,400.00000	10/01/2015	05/11/2016	\$1,342.57	\$306.60	\$0.00	\$0.00	\$1,035.97	Box 6: Gross Proceeds
	2,400.00000	10/01/2015	05/11/2016	\$2,301.55	\$537.99	\$0.00	\$0.00	\$1,763.56	Box 6: Gross Proceeds
	299.00000	10/01/2015	05/11/2016	\$307.66	\$66.08	\$0.00	\$0.00	\$241.58	Box 6: Gross Proceeds
	2,901.00000	10/01/2015	05/16/2016	\$6,517.44	\$641.12	\$0.00	\$0.00	\$5,876.32	Box 6: Gross Proceeds
	3,000.00000	10/01/2015	05/16/2016	\$7,819.83	\$663.00	\$0.00	\$0.00	\$7,156.83	Box 6: Gross Proceeds
	3,000.00000	10/01/2015	05/16/2016	\$8,389.82	\$663.00	\$0.00	\$0.00	\$7,726.82	Box 6: Gross Proceeds
	7,000.00000	10/01/2015	05/16/2016	\$21,059.55	\$1,513.53	\$0.00	\$0.00	\$19,546.02	Box 6: Gross Proceeds
	1,000.00000	10/01/2015	05/17/2016	\$3,344.95	\$214.90	\$0.00	\$0.00	\$3,130.05	Box 6: Gross Proceeds
	800.00000	10/01/2015	05/17/2016	\$2,591.94	\$171.92	\$0.00	\$0.00	\$2,420.02	Box 6: Gross Proceeds
	1,200.00000	10/01/2015	05/17/2016	\$3,887.92	\$259.46	\$0.00	\$0.00	\$3,628.46	Box 6: Gross Proceeds
	99.00000	10/02/2015	05/17/2016	\$329.17	\$20.97	\$0.00	\$0.00	\$308.20	Box 6: Gross Proceeds
	300.00000	10/02/2015	05/17/2016	\$1,000.47	\$63.55	\$0.00	\$0.00	\$936.92	Box 6: Gross Proceeds
	600.00000	10/02/2015	05/17/2016	\$2,006.95	\$127.11	\$0.00	\$0.00	\$1,879.84	Box 6: Gross Proceeds
	1,000.00000	10/02/2015	05/17/2016	\$3,364.93	\$211.85	\$0.00	\$0.00	\$3,153.08	Box 6: Gross Proceeds
	1,000.00000	10/02/2015	05/17/2016	\$3,454.93	\$211.85	\$0.00	\$0.00	\$3,243.08	Box 6: Gross Proceeds
	1,000.00000	10/02/2015	05/17/2016	\$3,664.92	\$211.85	\$0.00	\$0.00	\$3,453.07	Box 6: Gross Proceeds

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**

**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
MGT CAPITAL INVESTMENTS INC CUSIP: 55302P202	1,000.00000	10/02/2015	05/17/2016	\$4,359.91	\$211.85	\$0.00	\$0.00	\$4,148.06	Box 6: Gross Proceeds
	1.00000	10/02/2015	05/17/2016	\$3.34	\$0.21	\$0.00	\$0.00	\$3.13	Box 6: Gross Proceeds
<b>Subtotals</b>	<b>188,901.00000</b>			<b>\$211,624.37</b>	<b>\$43,702.32</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$167,922.05</b>	
MARINUS PHARMACEUTICALS INC COM CUSIP: 56854Q101	700.00000	06/13/2016	07/06/2016	\$1,034.98	\$1,220.33	\$0.00	\$185.35	(\$185.35)	Box 6: Gross Proceeds
	1,000.00000	06/13/2016	07/06/2016	\$1,469.96	\$1,743.33	\$0.00	\$273.37	(\$273.37)	Box 6: Gross Proceeds
	500.00000	06/13/2016	07/06/2016	\$739.98	\$1,007.39	\$0.00	\$267.41	(\$267.41)	Box 6: Gross Proceeds
	700.00000	06/13/2016	07/06/2016	\$1,035.98	\$1,220.33	\$0.00	\$184.35	(\$184.35)	Box 6: Gross Proceeds
	5,000.00000	06/13/2016	07/06/2016	\$7,456.84	\$8,750.00	\$0.00	\$0.00	(\$1,293.16)	Box 6: Gross Proceeds
	5,000.00000	06/13/2016	07/06/2016	\$7,741.84	\$8,750.00	\$0.00	\$0.00	(\$1,008.16)	Box 6: Gross Proceeds
	200.00000	06/13/2016	07/06/2016	\$291.99	\$402.96	\$0.00	\$110.97	(\$110.97)	Box 6: Gross Proceeds
	700.00000	06/13/2016	07/06/2016	\$1,021.98	\$1,409.35	\$0.00	\$387.37	(\$387.37)	Box 6: Gross Proceeds
	1,000.00000	06/13/2016	07/06/2016	\$1,459.97	\$2,023.37	\$0.00	\$563.40	(\$563.40)	Box 6: Gross Proceeds
	5,200.00000	06/13/2016	07/06/2016	\$7,591.83	\$9,100.00	\$0.00	\$754.09	(\$1,508.17)	Box 6: Gross Proceeds
	200.00000	06/13/2016	07/07/2016	\$335.07	\$429.27	\$0.00	\$0.00	(\$94.20)	Box 6: Gross Proceeds
	500.00000	06/13/2016	07/07/2016	\$837.68	\$1,063.16	\$0.00	\$0.00	(\$225.48)	Box 6: Gross Proceeds
	700.00000	06/13/2016	07/07/2016	\$1,172.75	\$1,501.42	\$0.00	\$0.00	(\$328.67)	Box 6: Gross Proceeds
	1,000.00000	06/13/2016	07/07/2016	\$1,675.36	\$2,154.90	\$0.00	\$0.00	(\$479.54)	Box 6: Gross Proceeds
	2,600.00000	06/13/2016	07/07/2016	\$4,355.96	\$4,891.98	\$0.00	\$0.00	(\$536.02)	Box 6: Gross Proceeds
<b>Subtotals</b>	<b>25,000.00000</b>			<b>\$38,222.17</b>	<b>\$45,667.79</b>	<b>\$0.00</b>	<b>\$2,726.31</b>	<b>(\$7,445.62)</b>	
NOTIS GLOBAL INC COM CUSIP: 66980B100	7,000.00000	03/30/2016	05/16/2016	\$42.50	\$86.29	\$0.00	\$0.00	(\$43.79)	Box 6: Gross Proceeds
PERNIX THERAPEUTICS HOLDINGS INC CUSIP: 71426V108	500.00000	06/07/2016	06/16/2016	\$287.25	\$289.58	\$0.00	\$2.33	(\$2.33)	Box 6: Gross Proceeds
	850.00000	06/07/2016	06/16/2016	\$501.57	\$492.29	\$0.00	\$0.00	\$9.28	Box 6: Gross Proceeds
	10,000.00000	06/07/2016	06/16/2016	\$5,840.88	\$5,974.10	\$0.00	\$133.22	(\$133.22)	Box 6: Gross Proceeds

**THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES.**  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: **8290**  
Account Name: **ROBERT B LADD**  
Taxpayer Identification Number: **\*\*\*-\*\*-0092**

Account Executive No: **ET1**

ORIGINAL: **12/31/2016**

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**

**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
PERNIX THERAPEUTICS HOLDINGS INC CUSIP: 71426Y108	10,000.00000	06/07/2016	06/16/2016	\$5,841.88	\$5,957.99	\$0.00	\$116.11	(\$116.11)	Box 6: Gross Proceeds
	500.00000	06/07/2016	07/08/2016	\$270.50	\$265.48	\$0.00	\$0.00	\$5.02	Box 6: Gross Proceeds
	700.00000	06/07/2016	07/08/2016	\$378.69	\$417.00	\$0.00	\$38.31	(\$38.31)	Box 6: Gross Proceeds
	3,800.00000	06/07/2016	07/08/2016	\$2,055.76	\$2,233.65	\$0.00	\$7.02	(\$177.89)	Box 6: Gross Proceeds
	538.00000	06/07/2016	07/08/2016	\$280.33	\$327.28	\$0.00	\$46.95	(\$46.95)	Box 6: Gross Proceeds
	8,112.00000	06/07/2016	07/08/2016	\$4,226.88	\$4,698.20	\$0.00	\$471.32	(\$471.32)	Box 6: Gross Proceeds
	50.00000	06/07/2016	07/11/2016	\$30.72	\$28.69	\$0.00	\$0.00	\$2.03	Box 6: Gross Proceeds
	100.00000	06/07/2016	07/11/2016	\$61.44	\$57.64	\$0.00	\$0.00	\$3.80	Box 6: Gross Proceeds
	538.00000	06/07/2016	07/11/2016	\$330.54	\$330.48	\$0.00	\$0.00	\$0.06	Box 6: Gross Proceeds
	700.00000	06/07/2016	07/11/2016	\$430.07	\$407.21	\$0.00	\$0.00	\$22.86	Box 6: Gross Proceeds
	1,212.00000	06/07/2016	07/11/2016	\$744.64	\$709.14	\$0.00	\$0.00	\$35.50	Box 6: Gross Proceeds
	2,400.00000	06/07/2016	07/11/2016	\$1,474.53	\$1,410.72	\$0.00	\$0.00	\$63.81	Box 6: Gross Proceeds
<b>Subtotals</b>	<b>40,000.00000</b>			<b>\$22,755.68</b>	<b>\$23,599.45</b>	<b>\$0.00</b>	<b>\$815.26</b>	<b>(\$843.77)</b>	
STEMCELLS INC COM PAR \$0.01 CUSIP: 85857R303	100.00000	08/16/2016	08/16/2016	\$222.20	\$289.59	\$0.00	\$67.39	(\$67.39)	Box 6: Gross Proceeds
	400.00000	08/16/2016	08/16/2016	\$888.78	\$1,130.38	\$0.00	\$241.60	(\$241.60)	Box 6: Gross Proceeds
	500.00000	08/16/2016	08/16/2016	\$1,110.98	\$1,399.00	\$0.00	\$288.02	(\$288.02)	Box 6: Gross Proceeds
	500.00000	08/16/2016	08/16/2016	\$1,119.98	\$1,399.00	\$0.00	\$279.02	(\$279.02)	Box 6: Gross Proceeds
	500.00000	08/16/2016	08/16/2016	\$1,317.98	\$1,273.99	\$0.00	\$0.00	\$43.99	Box 6: Gross Proceeds
	500.00000	08/16/2016	08/16/2016	\$1,381.97	\$1,403.97	\$0.00	\$22.00	(\$22.00)	Box 6: Gross Proceeds
	100.00000	08/16/2016	08/16/2016	\$284.19	\$324.99	\$0.00	\$40.80	(\$40.80)	Box 6: Gross Proceeds
	400.00000	08/16/2016	08/16/2016	\$1,136.78	\$1,271.99	\$0.00	\$135.21	(\$135.21)	Box 6: Gross Proceeds
	100.00000	08/16/2016	08/17/2016	\$187.49	\$202.10	\$0.00	\$0.00	(\$14.61)	Box 6: Gross Proceeds
	100.00000	08/16/2016	08/17/2016	\$186.50	\$209.10	\$0.00	\$0.00	(\$22.60)	Box 6: Gross Proceeds
	300.00000	08/16/2016	08/17/2016	\$559.49	\$606.31	\$0.00	\$0.00	(\$46.82)	Box 6: Gross Proceeds
	500.00000	08/17/2016	08/17/2016	\$1,044.48	\$841.50	\$0.00	\$0.00	\$202.98	Box 6: Gross Proceeds
<b>Subtotals</b>	<b>4,000.00000</b>			<b>\$9,440.82</b>	<b>\$10,351.92</b>	<b>\$0.00</b>	<b>\$1,074.04</b>	<b>(\$911.10)</b>	

**THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES**  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: **8290**  
Account Name: **ROBERT B LADD**  
Taxpayer Identification Number: **\*\*\*-\*\*-0092**

Account Executive No: **ET1**

ORIGINAL: **12/31/2016**

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**

**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
***VALEANT PHARMACEUTICALS INTERNATIONAL INC CUSIP: 91911K102	1,000.00000	05/16/2016	05/16/2016	\$26,969.42	\$27,014.36	\$0.00	\$44.94	(\$44.94)	Box 6: Gross Proceeds
	1,000.00000	05/16/2016	05/16/2016	\$26,999.42	\$26,854.83	\$0.00	\$0.00	\$144.59	Box 6: Gross Proceeds
	1,000.00000	05/16/2016	05/16/2016	\$26,934.42	\$26,889.99	\$0.00	\$0.00	\$44.43	Box 6: Gross Proceeds
	1,000.00000	05/16/2016	05/16/2016	\$26,934.42	\$26,979.99	\$0.00	\$45.57	(\$45.57)	Box 6: Gross Proceeds
	500.00000	05/20/2016	05/20/2016	\$13,532.76	\$13,490.00	\$0.00	\$0.00	\$42.76	Box 6: Gross Proceeds
	500.00000	05/20/2016	05/20/2016	\$13,534.71	\$13,490.00	\$0.00	\$0.00	\$44.71	Box 6: Gross Proceeds
	500.00000	05/20/2016	05/20/2016	\$13,634.71	\$13,569.94	\$0.00	\$0.00	\$64.77	Box 6: Gross Proceeds
	100.00000	06/07/2016	06/07/2016	\$2,510.95	\$2,512.65	\$0.00	\$1.70	(\$1.70)	Box 6: Gross Proceeds
	100.00000	06/07/2016	06/07/2016	\$2,517.95	\$2,512.65	\$0.00	\$0.00	\$5.30	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/07/2016	\$5,003.92	\$5,057.19	\$0.00	\$53.27	(\$53.27)	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/07/2016	\$5,009.92	\$5,057.19	\$0.00	\$47.27	(\$47.27)	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/07/2016	\$5,035.92	\$5,073.84	\$0.00	\$37.92	(\$37.92)	Box 6: Gross Proceeds
	201.00000	06/07/2016	06/07/2016	\$5,073.12	\$5,050.43	\$0.00	\$0.00	\$22.69	Box 6: Gross Proceeds
	299.00000	06/07/2016	06/07/2016	\$7,541.59	\$7,512.82	\$0.00	\$0.00	\$28.77	Box 6: Gross Proceeds
	300.00000	06/07/2016	06/07/2016	\$7,517.83	\$7,585.79	\$0.00	\$67.96	(\$67.96)	Box 6: Gross Proceeds
	300.00000	06/07/2016	06/07/2016	\$7,526.83	\$7,585.79	\$0.00	\$58.96	(\$58.96)	Box 6: Gross Proceeds
	300.00000	06/07/2016	06/07/2016	\$7,561.33	\$7,537.95	\$0.00	\$0.00	\$23.38	Box 6: Gross Proceeds
	100.00000	06/07/2016	06/07/2016	\$2,521.94	\$2,536.92	\$0.00	\$14.98	(\$14.98)	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/07/2016	\$5,043.89	\$5,081.80	\$0.00	\$37.91	(\$37.91)	Box 6: Gross Proceeds
	100.00000	06/07/2016	06/07/2016	\$2,443.85	\$2,479.73	\$0.00	\$36.08	(\$36.08)	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/07/2016	\$4,887.29	\$4,970.25	\$0.00	\$82.96	(\$82.96)	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/07/2016	\$4,887.30	\$4,967.45	\$0.00	\$80.15	(\$80.15)	Box 6: Gross Proceeds
	100.00000	06/07/2016	06/07/2016	\$2,453.69	\$2,481.87	\$0.00	\$0.00	(\$28.18)	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/07/2016	\$4,907.37	\$4,996.28	\$0.00	\$0.00	(\$88.91)	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/07/2016	\$4,907.38	\$4,971.71	\$0.00	\$0.00	(\$64.33)	Box 6: Gross Proceeds
	100.00000	06/07/2016	06/07/2016	\$2,475.65	\$2,526.91	\$0.00	\$51.26	(\$51.26)	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/07/2016	\$4,951.29	\$5,061.78	\$0.00	\$110.49	(\$110.49)	Box 6: Gross Proceeds

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
Box 5: Box Not Checked (Covered Security)

Box 3: Basis Reported to the IRS

Box 2: Type of Gain or Loss -Short-Term

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
***VALEANT PHARMACEUTICALS INTERNATIONAL INC CUSIP: 91911K102	200.00000	06/07/2016	06/07/2016	\$4,951.29	\$5,086.36	\$0.00	\$135.07	(\$135.07)	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/07/2016	\$4,968.69	\$5,084.24	\$0.00	\$115.55	(\$115.55)	Box 6: Gross Proceeds
	300.00000	06/07/2016	06/07/2016	\$7,453.04	\$7,631.54	\$0.00	\$178.50	(\$178.50)	Box 6: Gross Proceeds
	100.00000	06/07/2016	06/07/2016	\$2,484.36	\$2,526.17	\$0.00	\$41.81	(\$41.81)	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/07/2016	\$4,968.71	\$5,060.32	\$0.00	\$91.61	(\$91.61)	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/07/2016	\$4,968.71	\$5,063.13	\$0.00	\$94.42	(\$94.42)	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/07/2016	\$4,971.37	\$5,028.21	\$0.00	\$56.84	(\$56.84)	Box 6: Gross Proceeds
	300.00000	06/07/2016	06/07/2016	\$7,457.06	\$7,609.31	\$0.00	\$152.25	(\$152.25)	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/07/2016	\$4,997.37	\$5,067.45	\$0.00	\$70.08	(\$70.08)	Box 6: Gross Proceeds
	300.00000	06/07/2016	06/07/2016	\$7,496.06	\$7,606.36	\$0.00	\$110.30	(\$110.30)	Box 6: Gross Proceeds
	100.00000	06/07/2016	06/07/2016	\$2,498.69	\$2,517.78	\$0.00	\$19.09	(\$19.09)	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/07/2016	\$4,997.37	\$5,043.53	\$0.00	\$46.16	(\$46.16)	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/07/2016	\$4,997.37	\$5,046.34	\$0.00	\$48.97	(\$48.97)	Box 6: Gross Proceeds
	100.00000	06/07/2016	06/07/2016	\$2,499.36	\$2,519.19	\$0.00	\$19.83	(\$19.83)	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/07/2016	\$4,998.71	\$5,046.33	\$0.00	\$47.62	(\$47.62)	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/07/2016	\$4,998.71	\$5,070.91	\$0.00	\$72.20	(\$72.20)	Box 6: Gross Proceeds
	500.00000	06/07/2016	06/07/2016	\$12,511.73	\$12,694.75	\$0.00	\$183.02	(\$183.02)	Box 6: Gross Proceeds
	500.00000	06/07/2016	06/07/2016	\$12,520.13	\$12,694.75	\$0.00	\$174.62	(\$174.62)	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/07/2016	\$5,008.73	\$5,022.78	\$0.00	\$14.05	(\$14.05)	Box 6: Gross Proceeds
	300.00000	06/07/2016	06/07/2016	\$7,513.10	\$7,601.17	\$0.00	\$88.07	(\$88.07)	Box 6: Gross Proceeds
	500.00000	06/07/2016	06/07/2016	\$12,579.73	\$12,745.95	\$0.00	\$166.22	(\$166.22)	Box 6: Gross Proceeds
	500.00000	06/07/2016	06/07/2016	\$12,594.23	\$12,563.25	\$0.00	\$30.98	Box 6: Gross Proceeds	
	500.00000	06/07/2016	06/07/2016	\$12,596.78	\$12,754.35	\$0.00	\$157.57	(\$157.57)	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/07/2016	\$5,040.69	\$5,075.80	\$0.00	\$35.11	(\$35.11)	Box 6: Gross Proceeds
	300.00000	06/07/2016	06/07/2016	\$7,561.04	\$7,601.76	\$0.00	\$40.72	(\$40.72)	Box 6: Gross Proceeds
	500.00000	06/07/2016	06/07/2016	\$12,631.73	\$12,571.33	\$0.00	\$60.40	Box 6: Gross Proceeds	
	500.00000	06/07/2016	06/07/2016	\$12,661.78	\$12,563.25	\$0.00	\$98.53	Box 6: Gross Proceeds	

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: **8290**  
Account Name: **ROBERT B LADD**  
Taxpayer Identification Number: **\*\*\*-\*\*-0092**

Account Executive No: **ET1**

ORIGINAL: **12/31/2016**

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**

**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
***VALEANT PHARMACEUTICALS INTERNATIONAL INC CUSIP: 91911K102	500.00000	06/07/2016	06/07/2016	\$12,676.73	\$12,571.33	\$0.00	\$0.00	\$105.40	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/07/2016	\$5,094.29	\$5,088.80	\$0.00	\$0.00	\$5.49	Box 6: Gross Proceeds
	300.00000	06/07/2016	06/07/2016	\$7,641.44	\$7,610.90	\$0.00	\$0.00	\$30.54	Box 6: Gross Proceeds
	500.00000	06/07/2016	06/07/2016	\$12,808.43	\$12,684.83	\$0.00	\$0.00	\$123.60	Box 6: Gross Proceeds
	1,000.00000	06/07/2016	06/07/2016	\$25,021.46	\$25,285.96	\$0.00	\$264.50	(\$264.50)	Box 6: Gross Proceeds
	100.00000	06/07/2016	06/07/2016	\$2,530.49	\$2,530.30	\$0.00	\$0.00	\$0.19	Box 6: Gross Proceeds
	900.00000	06/07/2016	06/07/2016	\$22,774.36	\$22,757.36	\$0.00	\$0.00	\$17.00	Box 6: Gross Proceeds
	100.00000	06/07/2016	06/07/2016	\$2,544.15	\$2,550.54	\$0.00	\$6.39	(\$6.39)	Box 6: Gross Proceeds
	100.00000	06/07/2016	06/07/2016	\$2,544.15	\$2,551.95	\$0.00	\$7.80	(\$7.80)	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/07/2016	\$5,088.28	\$5,111.83	\$0.00	\$23.55	(\$23.55)	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/07/2016	\$5,088.29	\$5,103.16	\$0.00	\$14.87	(\$14.87)	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/07/2016	\$5,088.29	\$5,109.04	\$0.00	\$20.75	(\$20.75)	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/07/2016	\$5,088.29	\$5,111.85	\$0.00	\$23.56	(\$23.56)	Box 6: Gross Proceeds
	500.00000	06/07/2016	06/07/2016	\$12,730.72	\$12,842.39	\$0.00	\$111.67	(\$111.67)	Box 6: Gross Proceeds
	500.00000	06/07/2016	06/07/2016	\$12,730.73	\$12,851.05	\$0.00	\$120.32	(\$120.32)	Box 6: Gross Proceeds
	100.00000	06/07/2016	06/10/2016	\$2,489.55	\$2,493.99	\$0.00	\$4.44	(\$4.44)	SHORT SALE Box 6: Gross Proceeds
	200.00000	06/07/2016	06/10/2016	\$5,007.11	\$5,544.90	\$0.00	\$537.79	(\$537.79)	SHORT SALE Box 6: Gross Proceeds
	300.00000	06/07/2016	06/10/2016	\$7,510.67	\$8,260.81	\$0.00	\$750.14	(\$750.14)	SHORT SALE Box 6: Gross Proceeds
	500.00000	06/07/2016	06/10/2016	\$11,693.24	\$12,052.99	\$0.00	\$359.75	(\$359.75)	SHORT SALE Box 6: Gross Proceeds
	500.00000	06/07/2016	06/10/2016	\$11,861.80	\$12,845.77	\$0.00	\$983.97	(\$983.97)	SHORT SALE Box 6: Gross Proceeds
	500.00000	06/07/2016	06/10/2016	\$11,700.36	\$12,325.13	\$0.00	\$624.77	(\$624.77)	SHORT SALE Box 6: Gross Proceeds

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES.  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: Redacted 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
Box 5: Box Not Checked (Covered Security)

Box 3: Basis Reported to the IRS

Box 2: Type of Gain or Loss -Short-Term

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
***VALEANT PHARMACEUTICALS CUSIP: 91911K102	500.00000	06/07/2016	06/10/2016	\$11,772.25	\$12,716.67	\$0.00	\$944.42	(\$944.42)	SHORT SALE
	500.00000	06/07/2016	06/10/2016	\$12,381.78	\$13,614.53	\$0.00	\$1,232.75	(\$1,232.75)	Box 6: Gross Proceeds SHORT SALE
	500.00000	06/07/2016	06/10/2016	\$12,018.71	\$13,349.63	\$0.00	\$1,330.92	(\$1,330.92)	Box 6: Gross Proceeds SHORT SALE
	500.00000	06/07/2016	06/10/2016	\$12,086.79	\$13,605.73	\$0.00	\$1,518.94	(\$1,518.94)	Box 6: Gross Proceeds SHORT SALE
	500.00000	06/07/2016	06/10/2016	\$12,062.24	\$13,307.39	\$0.00	\$1,245.15	(\$1,245.15)	Box 6: Gross Proceeds SHORT SALE
	500.00000	06/07/2016	06/10/2016	\$12,447.73	\$12,392.99	\$0.00	\$0.00	\$54.74	Box 6: Gross Proceeds SHORT SALE
	500.00000	06/07/2016	06/10/2016	\$12,453.23	\$12,393.04	\$0.00	\$0.00	\$60.19	Box 6: Gross Proceeds SHORT SALE
	500.00000	06/07/2016	06/10/2016	\$12,474.48	\$13,615.05	\$0.00	\$0.00	(\$1,140.57)	Box 6: Gross Proceeds SHORT SALE
	500.00000	06/07/2016	06/10/2016	\$12,474.48	\$13,804.84	\$0.00	\$0.00	(\$1,330.36)	Box 6: Gross Proceeds SHORT SALE
	500.00000	06/07/2016	06/10/2016	\$12,453.23	\$13,855.03	\$0.00	\$1,401.80	(\$1,401.80)	Box 6: Gross Proceeds SHORT SALE
	500.00000	06/07/2016	06/10/2016	\$12,447.73	\$12,457.94	\$0.00	\$10.21	(\$10.21)	Box 6: Gross Proceeds SHORT SALE
	500.00000	06/07/2016	06/10/2016	\$12,517.78	\$13,968.64	\$0.00	\$1,450.86	(\$1,450.86)	Box 6: Gross Proceeds SHORT SALE
	500.00000	06/07/2016	06/10/2016	\$12,517.78	\$12,544.59	\$0.00	\$26.81	(\$26.81)	Box 6: Gross Proceeds SHORT SALE
	500.00000	06/07/2016	06/10/2016	\$12,517.78	\$12,555.49	\$0.00	\$37.71	(\$37.71)	Box 6: Gross Proceeds SHORT SALE
	500.00000	06/07/2016	06/10/2016	\$12,517.78	\$12,555.49	\$0.00	\$37.71	(\$37.71)	Box 6: Gross Proceeds SHORT SALE

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES.  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.

E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: Redacted 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
Box 5: Box Not Checked (Covered Security)

Box 3: Basis Reported to the IRS

Box 2: Type of Gain or Loss -Short-Term

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
***VALEANT PHARMACEUTICALS CUSIP: 91911K102	500.00000	06/07/2016	06/10/2016	\$12,602.23	\$14,179.38	\$0.00	\$1,577.15	(\$1,577.15)	SHORT SALE
	500.00000	06/07/2016	06/10/2016	\$12,678.23	\$12,587.99	\$0.00	\$0.00	\$90.24	Box 6: Gross Proceeds SHORT SALE
	500.00000	06/07/2016	06/10/2016	\$12,392.76	\$14,083.15	\$0.00	\$1,690.39	(\$1,690.39)	Box 6: Gross Proceeds SHORT SALE
	500.00000	06/07/2016	06/10/2016	\$12,678.23	\$12,617.89	\$0.00	\$0.00	\$60.34	Box 6: Gross Proceeds SHORT SALE
	500.00000	06/07/2016	06/10/2016	\$12,672.23	\$14,235.34	\$0.00	\$1,563.11	(\$1,563.11)	Box 6: Gross Proceeds SHORT SALE
	500.00000	06/07/2016	06/10/2016	\$12,539.73	\$13,965.88	\$0.00	\$1,426.15	(\$1,426.15)	Box 6: Gross Proceeds SHORT SALE
	500.00000	06/07/2016	06/10/2016	\$12,678.23	\$13,920.26	\$0.00	\$1,246.07	(\$1,242.03)	Box 6: Gross Proceeds SHORT SALE
	500.00000	06/07/2016	06/10/2016	\$12,678.23	\$14,073.52	\$0.00	\$1,395.29	(\$1,395.29)	Box 6: Gross Proceeds SHORT SALE
	500.00000	06/07/2016	06/10/2016	\$12,788.22	\$14,178.80	\$0.00	\$1,390.58	(\$1,390.58)	Box 6: Gross Proceeds SHORT SALE
	500.00000	06/07/2016	06/10/2016	\$12,788.22	\$12,770.70	\$0.00	\$0.00	\$17.52	Box 6: Gross Proceeds SHORT SALE
	500.00000	06/07/2016	06/10/2016	\$12,788.22	\$12,771.80	\$0.00	\$0.00	\$16.42	Box 6: Gross Proceeds SHORT SALE
	500.00000	06/07/2016	06/10/2016	\$12,788.22	\$14,045.87	\$0.00	\$1,262.27	(\$1,257.65)	Box 6: Gross Proceeds SHORT SALE
	900.00000	06/07/2016	06/10/2016	\$22,405.91	\$25,086.44	\$0.00	\$2,680.53	(\$2,680.53)	Box 6: Gross Proceeds SHORT SALE
	1,000.00000	06/07/2016	06/10/2016	\$24,906.46	\$26,055.93	\$0.00	\$1,212.01	(\$1,149.47)	Box 6: Gross Proceeds SHORT SALE

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES.  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: **8290**  
Account Name: **ROBERT B LADD**  
Taxpayer Identification Number: **\*\*\*-\*\*-0092**  
Account Executive No: **ET1**  
ORIGINAL: **12/31/2016**

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED****OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS****Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
***VALEANT PHARMACEUTICALS CUSIP: 91911K102	300.00000	06/07/2016	06/23/2016	\$6,858.91	\$6,748.92	\$0.00	\$0.00	(\$90.01)	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/24/2016	\$4,048.91	\$4,146.93	\$0.00	\$0.00	(\$98.02)	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/24/2016	\$4,048.92	\$4,144.13	\$0.00	\$0.00	(\$95.21)	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/24/2016	\$4,092.75	\$4,481.78	\$0.00	\$0.00	(\$389.03)	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/24/2016	\$4,092.76	\$4,495.84	\$0.00	\$0.00	(\$403.08)	Box 6: Gross Proceeds
	100.00000	06/07/2016	06/24/2016	\$2,046.95	\$2,160.07	\$0.00	\$0.00	(\$113.12)	Box 6: Gross Proceeds
	100.00000	06/07/2016	06/24/2016	\$2,046.96	\$2,174.75	\$0.00	\$0.00	(\$127.79)	Box 6: Gross Proceeds
	200.00000	06/07/2016	06/24/2016	\$4,093.92	\$4,304.84	\$0.00	\$0.00	(\$210.92)	Box 6: Gross Proceeds
	20.00000	08/11/2016	08/11/2016	\$500.26	\$526.01	\$0.00	\$25.75	(\$25.75)	Box 6: Gross Proceeds
	20.00000	08/11/2016	08/11/2016	\$500.26	\$526.04	\$0.00	\$25.78	(\$25.78)	Box 6: Gross Proceeds
	80.00000	08/11/2016	08/11/2016	\$2,001.03	\$2,059.20	\$0.00	\$58.17	(\$58.17)	Box 6: Gross Proceeds
	120.00000	08/11/2016	08/11/2016	\$3,004.36	\$3,088.79	\$0.00	\$84.43	(\$84.43)	Box 6: Gross Proceeds
	20.00000	08/11/2016	08/11/2016	\$497.59	\$527.68	\$0.00	\$30.09	(\$30.09)	Box 6: Gross Proceeds
	20.00000	08/11/2016	08/11/2016	\$497.59	\$527.71	\$0.00	\$30.12	(\$30.12)	Box 6: Gross Proceeds
	40.00000	08/11/2016	08/11/2016	\$995.19	\$1,003.87	\$0.00	\$8.68	(\$8.68)	Box 6: Gross Proceeds
	40.00000	08/11/2016	08/11/2016	\$995.19	\$1,031.34	\$0.00	\$36.15	(\$36.15)	Box 6: Gross Proceeds
	40.00000	08/11/2016	08/11/2016	\$995.19	\$1,032.95	\$0.00	\$37.76	(\$37.76)	Box 6: Gross Proceeds
	80.00000	08/11/2016	08/11/2016	\$1,990.37	\$2,060.82	\$0.00	\$70.45	(\$70.45)	Box 6: Gross Proceeds
	50.00000	08/11/2016	08/16/2016	\$1,240.97	\$1,226.99	\$0.00	\$0.00	\$13.98	SHORT SALE
									Box 6: Gross Proceeds
	50.00000	08/11/2016	08/16/2016	\$1,240.97	\$1,235.44	\$0.00	\$0.00	\$5.53	SHORT SALE
									Box 6: Gross Proceeds
	100.00000	08/11/2016	08/16/2016	\$2,481.95	\$2,454.00	\$0.00	\$0.00	\$27.95	SHORT SALE
									Box 6: Gross Proceeds
	20.00000	08/11/2016	08/18/2016	\$577.59	\$606.98	\$0.00	\$29.39	(\$29.39)	Box 6: Gross Proceeds
	20.00000	08/11/2016	08/18/2016	\$577.59	\$607.02	\$0.00	\$29.43	(\$29.43)	Box 6: Gross Proceeds
	40.00000	08/11/2016	08/18/2016	\$1,155.17	\$1,205.09	\$0.00	\$49.92	(\$49.92)	Box 6: Gross Proceeds

**THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES**  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**

**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
***VALEANT PHARMACEUTICALS INTERNATIONAL INC CUSIP: 91911K102	40.00000	08/11/2016	08/18/2016	\$1,155.18	\$1,177.74	\$0.00	\$22.56	(\$22.56)	Box 6: Gross Proceeds
	80.00000	08/11/2016	08/18/2016	\$2,310.35	\$2,408.35	\$0.00	\$98.00	(\$98.00)	Box 6: Gross Proceeds
	40.00000	08/11/2016	08/18/2016	\$1,184.41	\$1,237.20	\$0.00	\$52.79	(\$52.79)	Box 6: Gross Proceeds
	40.00000	08/11/2016	08/18/2016	\$1,184.42	\$1,208.24	\$0.00	\$23.82	(\$23.82)	Box 6: Gross Proceeds
	40.00000	08/11/2016	08/18/2016	\$1,184.42	\$1,235.60	\$0.00	\$51.18	(\$51.18)	Box 6: Gross Proceeds
	80.00000	08/11/2016	08/18/2016	\$2,368.83	\$2,469.34	\$0.00	\$100.51	(\$100.51)	Box 6: Gross Proceeds
	20.00000	08/11/2016	08/18/2016	\$608.39	\$638.41	\$0.00	\$30.02	(\$30.02)	Box 6: Gross Proceeds
	20.00000	08/11/2016	08/18/2016	\$608.39	\$638.45	\$0.00	\$30.06	(\$30.06)	Box 6: Gross Proceeds
	40.00000	08/11/2016	08/18/2016	\$1,216.77	\$1,252.81	\$0.00	\$36.04	(\$36.04)	Box 6: Gross Proceeds
	40.00000	08/11/2016	08/18/2016	\$1,216.77	\$1,254.42	\$0.00	\$37.65	(\$37.65)	Box 6: Gross Proceeds
	80.00000	08/11/2016	08/18/2016	\$2,433.55	\$2,503.77	\$0.00	\$70.22	(\$70.22)	Box 6: Gross Proceeds
	100.00000	08/17/2016	08/22/2016	\$3,004.04	\$2,986.99	\$0.00	\$0.00	\$17.05	SHORT SALE Box 6: Gross Proceeds
	100.00000	08/17/2016	08/22/2016	\$3,004.04	\$2,993.64	\$0.00	\$0.00	\$10.40	SHORT SALE Box 6: Gross Proceeds
	200.00000	08/17/2016	08/22/2016	\$6,008.87	\$5,987.99	\$0.00	\$0.00	\$20.88	SHORT SALE Box 6: Gross Proceeds
	100.00000	08/18/2016	08/23/2016	\$3,118.44	\$3,083.99	\$0.00	\$0.00	\$34.45	SHORT SALE Box 6: Gross Proceeds
	100.00000	08/18/2016	08/23/2016	\$3,127.44	\$3,087.29	\$0.00	\$0.00	\$40.15	SHORT SALE Box 6: Gross Proceeds
	200.00000	08/18/2016	08/23/2016	\$6,157.38	\$6,148.00	\$0.00	\$0.00	\$9.38	SHORT SALE Box 6: Gross Proceeds
	20.00000	08/11/2016	08/24/2016	\$605.21	\$640.37	\$0.00	\$35.16	(\$35.16)	Box 6: Gross Proceeds
	20.00000	08/11/2016	08/24/2016	\$605.21	\$640.41	\$0.00	\$35.20	(\$35.20)	Box 6: Gross Proceeds
	40.00000	08/11/2016	08/24/2016	\$1,210.41	\$1,244.53	\$0.00	\$34.12	(\$34.12)	Box 6: Gross Proceeds
	40.00000	08/11/2016	08/24/2016	\$1,210.41	\$1,274.76	\$0.00	\$64.35	(\$64.35)	Box 6: Gross Proceeds

**THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES.**  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: Redacted 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**

**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
***VALEANT PHARMACEUTICALS INTERNATIONAL INC CUSIP: 91911K102	80.00000	08/11/2016	08/24/2016	\$2,420.83	\$2,541.93	\$0.00	\$121.10	(\$121.10)	Box 6: Gross Proceeds
	100.00000	08/22/2016	08/25/2016	\$3,094.04	\$3,070.99	\$0.00	\$0.00	\$23.05	SHORT SALE
	200.00000	08/22/2016	08/25/2016	\$6,201.08	\$6,259.00	\$0.00	\$57.92	(\$57.92)	Box 6: Gross Proceeds
	200.00000	08/23/2016	08/26/2016	\$6,307.87	\$6,285.91	\$0.00	\$0.00	\$21.96	SHORT SALE
	20.00000	08/11/2016	08/29/2016	\$608.39	\$642.54	\$0.00	\$0.00	(\$34.15)	Box 6: Gross Proceeds
	20.00000	08/11/2016	08/29/2016	\$608.39	\$642.58	\$0.00	\$0.00	(\$34.19)	Box 6: Gross Proceeds
	40.00000	08/11/2016	08/29/2016	\$1,216.77	\$1,248.88	\$0.00	\$0.00	(\$32.11)	Box 6: Gross Proceeds
	40.00000	08/11/2016	08/29/2016	\$1,216.77	\$1,264.68	\$0.00	\$0.00	(\$47.91)	Box 6: Gross Proceeds
	40.00000	08/11/2016	08/29/2016	\$1,216.77	\$1,273.31	\$0.00	\$0.00	(\$56.54)	Box 6: Gross Proceeds
	40.00000	08/11/2016	08/29/2016	\$1,216.77	\$1,279.11	\$0.00	\$0.00	(\$62.34)	Box 6: Gross Proceeds
	40.00000	08/11/2016	08/29/2016	\$1,216.78	\$1,275.30	\$0.00	\$0.00	(\$58.52)	Box 6: Gross Proceeds
	100.00000	08/24/2016	08/29/2016	\$3,192.94	\$3,224.99	\$0.00	\$32.05	(\$32.05)	SHORT SALE
	100.00000	08/24/2016	08/29/2016	\$3,192.94	\$3,231.98	\$0.00	\$39.04	(\$39.04)	Box 6: Gross Proceeds
	200.00000	08/24/2016	08/29/2016	\$6,057.87	\$6,195.08	\$0.00	\$137.21	(\$137.21)	SHORT SALE
	160.00000	08/29/2016	08/29/2016	\$4,867.10	\$4,851.03	\$0.00	\$0.00	\$16.07	Box 6: Gross Proceeds
	200.00000	08/29/2016	09/01/2016	\$6,126.21	\$6,144.83	\$0.00	\$0.00	(\$18.62)	SHORT SALE
	200.00000	08/29/2016	09/01/2016	\$6,132.53	\$6,247.20	\$0.00	\$60.83	(\$114.67)	Box 6: Gross Proceeds
	1,000.00000	11/08/2016	11/14/2016	\$15,602.66	\$15,407.99	\$0.00	\$0.00	\$194.67	SHORT SALE
									Box 6: Gross Proceeds

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES.  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: **8290**  
Account Name: **ROBERT B LADD**  
Taxpayer Identification Number: **\*\*\*-\*\*-0092**

Account Executive No: **ET1**

ORIGINAL: **12/31/2016**

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**

**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
<b>***VALEANT PHARMACEUTICALS</b>									
CUSIP: 91911K102									
<b>Subtotals</b>	<b>45,980.00000</b>			<b>\$1,162,370.14</b>	<b>\$1,198,362.63</b>	<b>\$0.00</b>	<b>\$33,114.44</b>	<b>(\$35,992.49)</b>	
VENAXIS INC	500.00000	04/29/2016	06/09/2016	\$1,848.53	\$1,507.19	\$0.00	\$0.00	\$341.34	Box 6: Gross Proceeds
COM NEW	2,300.00000	04/29/2016	06/09/2016	\$8,503.25	\$6,886.20	\$0.00	\$0.00	\$1,617.05	Box 6: Gross Proceeds
CUSIP: 92262A206	200.00000	04/29/2016	08/02/2016	\$659.89	\$598.80	\$0.00	\$0.00	\$61.09	Box 6: Gross Proceeds
	105.00000	05/10/2016	08/02/2016	\$338.50	\$291.19	\$0.00	\$0.00	\$47.31	Box 6: Gross Proceeds
	800.00000	05/10/2016	08/02/2016	\$2,639.54	\$2,218.58	\$0.00	\$0.00	\$420.96	Box 6: Gross Proceeds
	1,000.00000	05/10/2016	08/02/2016	\$3,305.13	\$2,773.23	\$0.00	\$0.00	\$531.90	Box 6: Gross Proceeds
	1,000.00000	05/10/2016	08/03/2016	\$3,267.13	\$2,773.23	\$0.00	\$0.00	\$493.90	Box 6: Gross Proceeds
	95.00000	05/10/2016	08/03/2016	\$309.29	\$263.46	\$0.00	\$0.00	\$45.83	Box 6: Gross Proceeds
	1,383.00000	05/11/2016	08/03/2016	\$4,502.66	\$4,289.72	\$0.00	\$0.00	\$212.94	Box 6: Gross Proceeds
	1,000.00000	05/11/2016	08/08/2016	\$3,190.74	\$3,101.75	\$0.00	\$0.00	\$88.99	Box 6: Gross Proceeds
	1,000.00000	05/11/2016	08/08/2016	\$3,211.93	\$3,101.75	\$0.00	\$0.00	\$110.18	Box 6: Gross Proceeds
	1,000.00000	05/11/2016	08/08/2016	\$3,246.93	\$3,101.75	\$0.00	\$0.00	\$145.18	Box 6: Gross Proceeds
	1,317.00000	05/11/2016	08/08/2016	\$4,215.54	\$4,085.01	\$0.00	\$0.00	\$130.53	Box 6: Gross Proceeds
	1,683.00000	05/11/2016	08/08/2016	\$5,387.06	\$5,250.79	\$0.00	\$0.00	\$136.27	Box 6: Gross Proceeds
	1,000.00000	05/11/2016	08/10/2016	\$3,126.94	\$3,119.90	\$0.00	\$0.00	\$7.04	Box 6: Gross Proceeds
	1,000.00000	05/11/2016	08/25/2016	\$3,242.93	\$3,119.90	\$0.00	\$0.00	\$123.03	Box 6: Gross Proceeds
	1,000.00000	05/11/2016	08/25/2016	\$3,291.93	\$3,119.90	\$0.00	\$0.00	\$172.03	Box 6: Gross Proceeds
	307.00000	05/11/2016	08/29/2016	\$1,074.50	\$957.81	\$0.00	\$0.00	\$116.69	Box 6: Gross Proceeds
	6.00000	05/11/2016	08/29/2016	\$21.03	\$28.65	\$0.00	\$7.62	(\$7.62)	Box 6: Gross Proceeds
	10.00000	05/11/2016	08/29/2016	\$35.05	\$31.20	\$0.00	\$0.00	\$3.85	Box 6: Gross Proceeds
	400.00000	05/11/2016	08/29/2016	\$1,402.08	\$1,240.04	\$0.00	\$0.00	\$162.04	Box 6: Gross Proceeds
	594.00000	05/11/2016	08/29/2016	\$2,082.09	\$1,853.28	\$0.00	\$0.00	\$228.81	Box 6: Gross Proceeds
	500.00000	05/16/2016	08/29/2016	\$1,758.71	\$1,680.95	\$0.00	\$0.00	\$77.76	Box 6: Gross Proceeds
	600.00000	05/16/2016	08/29/2016	\$2,097.00	\$1,991.94	\$0.00	\$0.00	\$105.06	Box 6: Gross Proceeds

**THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES**  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
Box 5: Box Not Checked (Covered Security)

Box 3: Basis Reported to the IRS

Box 2: Type of Gain or Loss -Short-Term

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
VENAXIS INC	1,400.00000	05/16/2016	08/29/2016	\$4,910.39	\$4,647.86	\$0.00	\$0.00	\$262.53	Box 6: Gross Proceeds
COM NEW	1,500.00000	05/16/2016	08/29/2016	\$5,257.04	\$5,042.85	\$0.00	\$0.00	\$214.19	Box 6: Gross Proceeds
CUSIP: 92262A206	1.00000	05/16/2016	08/29/2016	\$3.51	\$13.26	\$0.00	\$9.75	(\$9.75)	Box 6: Gross Proceeds
	682.00000	05/16/2016	08/29/2016	\$2,390.55	\$2,264.17	\$0.00	\$0.00	\$126.38	Box 6: Gross Proceeds
	70.00000	05/16/2016	08/29/2016	\$245.06	\$232.39	\$0.00	\$0.00	\$12.67	Box 6: Gross Proceeds
	1,930.00000	05/16/2016	08/29/2016	\$6,756.79	\$6,488.46	\$0.00	\$0.00	\$268.33	Box 6: Gross Proceeds
	2,000.00000	05/16/2016	08/29/2016	\$7,012.05	\$6,639.80	\$0.00	\$0.00	\$372.25	Box 6: Gross Proceeds
	204.00000	05/16/2016	08/30/2016	\$736.59	\$676.55	\$0.00	\$0.00	\$60.04	Box 6: Gross Proceeds
	1,000.00000	05/16/2016	08/30/2016	\$3,598.53	\$3,316.44	\$0.00	\$0.00	\$282.09	Box 6: Gross Proceeds
	70.00000	05/16/2016	08/30/2016	\$252.00	\$235.33	\$0.00	\$0.00	\$16.67	Box 6: Gross Proceeds
	247.00000	05/16/2016	08/30/2016	\$889.18	\$820.04	\$0.00	\$0.00	\$69.14	Box 6: Gross Proceeds
	683.00000	05/16/2016	08/30/2016	\$2,458.75	\$2,265.13	\$0.00	\$0.00	\$193.62	Box 6: Gross Proceeds
	1,000.00000	05/16/2016	08/30/2016	\$3,599.93	\$3,361.90	\$0.00	\$0.00	\$238.03	Box 6: Gross Proceeds
	1,000.00000	05/16/2016	08/30/2016	\$3,629.93	\$3,316.44	\$0.00	\$0.00	\$313.49	Box 6: Gross Proceeds
	100.00000	05/16/2016	08/31/2016	\$367.77	\$334.32	\$0.00	\$0.00	\$33.45	Box 6: Gross Proceeds
	570.00000	05/16/2016	08/31/2016	\$2,072.52	\$1,905.64	\$0.00	\$0.00	\$166.88	Box 6: Gross Proceeds
	13.00000	05/16/2016	08/31/2016	\$47.22	\$43.11	\$0.00	\$0.00	\$4.11	Box 6: Gross Proceeds
	987.00000	05/16/2016	08/31/2016	\$3,584.71	\$3,299.77	\$0.00	\$0.00	\$284.94	Box 6: Gross Proceeds
	1,126.00000	05/16/2016	08/31/2016	\$4,098.55	\$3,764.48	\$0.00	\$0.00	\$334.07	Box 6: Gross Proceeds
	700.00000	05/16/2016	09/01/2016	\$2,670.09	\$2,382.26	\$0.00	\$0.00	\$287.83	Box 6: Gross Proceeds
	217.00000	05/16/2016	09/01/2016	\$820.24	\$725.48	\$0.00	\$0.00	\$94.76	Box 6: Gross Proceeds
	783.00000	05/16/2016	09/01/2016	\$2,959.68	\$2,618.27	\$0.00	\$0.00	\$341.41	Box 6: Gross Proceeds
	1,000.00000	05/16/2016	09/01/2016	\$3,781.92	\$3,343.90	\$0.00	\$0.00	\$438.02	Box 6: Gross Proceeds
	20.00000	05/16/2016	09/01/2016	\$76.44	\$66.87	\$0.00	\$0.00	\$9.57	Box 6: Gross Proceeds
	200.00000	05/16/2016	09/01/2016	\$764.38	\$677.99	\$0.00	\$0.00	\$86.39	Box 6: Gross Proceeds
	780.00000	05/16/2016	09/01/2016	\$2,981.10	\$2,608.24	\$0.00	\$0.00	\$372.86	Box 6: Gross Proceeds
	1,300.00000	05/16/2016	09/01/2016	\$4,955.82	\$4,424.20	\$0.00	\$0.00	\$531.62	Box 6: Gross Proceeds

**THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES**  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
Box 5: Box Not Checked (Covered Security)

Box 3: Basis Reported to the IRS

Box 2: Type of Gain or Loss -Short-Term

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
VENAXIS INC	220.00000	05/16/2016	09/01/2016	\$837.86	\$748.71	\$0.00	\$0.00	\$89.15	Box 6: Gross Proceeds
COM NEW	280.00000	05/16/2016	09/01/2016	\$1,066.37	\$936.12	\$0.00	\$0.00	\$130.25	Box 6: Gross Proceeds
CUSIP: 92262A206	2,500.00000	05/16/2016	09/01/2016	\$9,521.13	\$8,450.00	\$0.00	\$0.00	\$1,071.13	Box 6: Gross Proceeds
	100.00000	05/16/2016	09/13/2016	\$442.99	\$340.32	\$0.00	\$0.00	\$102.67	Box 6: Gross Proceeds
	200.00000	05/16/2016	09/13/2016	\$874.59	\$680.65	\$0.00	\$0.00	\$193.94	Box 6: Gross Proceeds
	6.00000	05/11/2016	09/14/2016	\$22.44	\$30.81	\$0.00	\$0.00	(\$8.37)	Box 6: Gross Proceeds
	1.00000	05/16/2016	09/14/2016	\$0.00	\$3.55	\$0.00	\$3.55	(\$3.55)	Box 6: Gross Proceeds
	6.00000	05/16/2016	09/14/2016	\$22.14	\$21.48	\$0.00	\$0.00	\$0.66	Box 6: Gross Proceeds
	17.00000	05/16/2016	09/14/2016	\$62.72	\$61.03	\$0.00	\$0.00	\$1.69	Box 6: Gross Proceeds
	40.00000	05/16/2016	09/14/2016	\$144.79	\$143.60	\$0.00	\$0.00	\$1.19	Box 6: Gross Proceeds
	100.00000	05/16/2016	09/14/2016	\$362.99	\$359.99	\$0.00	\$0.00	\$3.00	Box 6: Gross Proceeds
	1.00000	05/16/2016	09/14/2016	\$3.74	\$7.41	\$0.00	\$0.00	(\$3.67)	Box 6: Gross Proceeds
	1.00000	05/16/2016	09/14/2016	\$3.74	\$13.61	\$0.00	\$0.00	(\$9.87)	Box 6: Gross Proceeds
	25.00000	05/16/2016	09/14/2016	\$93.50	\$102.61	\$0.00	\$0.00	(\$9.11)	Box 6: Gross Proceeds
	67.00000	05/16/2016	09/14/2016	\$250.58	\$262.96	\$0.00	\$0.00	(\$12.38)	Box 6: Gross Proceeds
	101.00000	05/16/2016	09/14/2016	\$379.69	\$358.68	\$0.00	\$0.00	\$21.01	Box 6: Gross Proceeds
	200.00000	05/16/2016	09/14/2016	\$813.32	\$706.00	\$0.00	\$0.00	\$107.32	Box 6: Gross Proceeds
	300.00000	05/16/2016	09/14/2016	\$1,079.97	\$1,079.97	\$0.00	\$0.00	\$0.00	Box 6: Gross Proceeds
	365.00000	05/16/2016	09/14/2016	\$1,306.67	\$1,313.96	\$0.00	\$7.29	(\$7.29)	Box 6: Gross Proceeds
	400.00000	05/16/2016	09/14/2016	\$1,383.96	\$1,435.96	\$0.00	\$52.00	(\$52.00)	Box 6: Gross Proceeds
	400.00000	05/16/2016	09/14/2016	\$1,432.36	\$1,439.96	\$0.00	\$7.60	(\$7.60)	Box 6: Gross Proceeds
	400.00000	05/16/2016	09/14/2016	\$1,596.37	\$1,361.29	\$0.00	\$0.00	\$235.08	Box 6: Gross Proceeds
	535.00000	05/16/2016	09/14/2016	\$2,012.46	\$1,920.60	\$0.00	\$0.00	\$91.86	Box 6: Gross Proceeds
	600.00000	05/16/2016	09/14/2016	\$2,159.95	\$2,153.94	\$0.00	\$0.00	\$6.01	Box 6: Gross Proceeds
	25.00000	05/16/2016	09/14/2016	\$92.50	\$98.49	\$0.00	\$5.99	(\$5.99)	Box 6: Gross Proceeds
	94.00000	05/16/2016	09/14/2016	\$347.79	\$336.52	\$0.00	\$0.00	\$11.27	Box 6: Gross Proceeds
	481.00000	05/16/2016	09/14/2016	\$1,779.66	\$1,708.19	\$0.00	\$0.00	\$71.47	Box 6: Gross Proceeds

**THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES**  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: **8290**  
Account Name: **ROBERT B LADD**  
Taxpayer Identification Number: **\*\*\*-\*\*-0092**

Account Executive No: **ET1**

ORIGINAL: **12/31/2016**

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**

**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
VENAXIS INC	700.00000	05/16/2016	09/14/2016	\$2,471.01	\$2,512.93	\$0.00	\$41.92	(\$41.92)	Box 6: Gross Proceeds
COM NEW	17.00000	05/16/2016	09/14/2016	\$62.05	\$59.85	\$0.00	\$0.00	\$2.20	Box 6: Gross Proceeds
CUSIP: 92262A206	300.00000	05/16/2016	09/14/2016	\$1,094.97	\$1,077.00	\$0.00	\$0.00	\$17.97	Box 6: Gross Proceeds
	583.00000	05/16/2016	09/14/2016	\$2,127.90	\$2,092.91	\$0.00	\$0.00	\$34.99	Box 6: Gross Proceeds
	117.00000	05/16/2016	09/14/2016	\$427.21	\$410.34	\$0.00	\$0.00	\$16.87	Box 6: Gross Proceeds
	352.00000	05/16/2016	09/14/2016	\$1,285.28	\$1,267.16	\$0.00	\$0.00	\$18.12	Box 6: Gross Proceeds
	466.00000	05/16/2016	09/14/2016	\$1,701.54	\$1,640.64	\$0.00	\$0.00	\$60.90	Box 6: Gross Proceeds
	80.00000	05/16/2016	09/14/2016	\$320.80	\$272.26	\$0.00	\$0.00	\$48.54	Box 6: Gross Proceeds
	103.00000	05/16/2016	09/14/2016	\$413.03	\$354.01	\$0.00	\$0.00	\$59.02	Box 6: Gross Proceeds
	300.00000	05/16/2016	09/14/2016	\$1,203.00	\$1,068.96	\$0.00	\$0.00	\$134.04	Box 6: Gross Proceeds
	1,917.00000	05/16/2016	09/14/2016	\$7,687.19	\$6,767.01	\$0.00	\$0.00	\$920.18	Box 6: Gross Proceeds
	300.00000	05/16/2016	09/14/2016	\$1,120.34	\$1,070.94	\$0.00	\$0.00	\$49.40	Box 6: Gross Proceeds
	300.00000	05/16/2016	09/14/2016	\$1,120.34	\$1,080.00	\$0.00	\$0.00	\$40.34	Box 6: Gross Proceeds
	583.00000	05/16/2016	09/14/2016	\$2,177.19	\$2,098.74	\$0.00	\$0.00	\$78.45	Box 6: Gross Proceeds
	1,517.00000	05/16/2016	09/14/2016	\$5,665.17	\$5,440.85	\$0.00	\$0.00	\$224.32	Box 6: Gross Proceeds
	33.00000	05/16/2016	09/14/2016	\$125.40	\$131.09	\$0.00	\$0.00	(\$5.69)	Box 6: Gross Proceeds
	365.00000	05/16/2016	09/14/2016	\$1,386.97	\$1,409.81	\$0.00	\$0.00	(\$22.84)	Box 6: Gross Proceeds
	367.00000	05/16/2016	09/14/2016	\$1,394.57	\$1,466.08	\$0.00	\$0.00	(\$71.51)	Box 6: Gross Proceeds
	400.00000	05/16/2016	09/14/2016	\$1,519.96	\$1,544.60	\$0.00	\$0.00	(\$24.64)	Box 6: Gross Proceeds
	633.00000	05/16/2016	09/14/2016	\$2,405.34	\$2,484.30	\$0.00	\$0.00	(\$78.96)	Box 6: Gross Proceeds
	583.00000	05/16/2016	09/14/2016	\$2,216.71	\$2,057.99	\$0.00	\$0.00	\$158.72	Box 6: Gross Proceeds
	2,417.00000	05/16/2016	09/14/2016	\$9,190.05	\$8,583.56	\$0.00	\$0.00	\$606.49	Box 6: Gross Proceeds
	1.00000	05/17/2016	09/14/2016	\$3.74	\$3.88	\$0.00	\$0.00	(\$0.14)	Box 6: Gross Proceeds
	100.00000	05/17/2016	09/14/2016	\$363.00	\$409.83	\$0.00	\$0.00	(\$46.83)	Box 6: Gross Proceeds
	100.00000	05/17/2016	09/14/2016	\$370.19	\$400.87	\$0.00	\$0.00	(\$30.68)	Box 6: Gross Proceeds
	100.00000	05/17/2016	09/14/2016	\$371.99	\$409.83	\$0.00	\$0.00	(\$37.84)	Box 6: Gross Proceeds
	100.00000	05/17/2016	09/14/2016	\$380.16	\$409.83	\$0.00	\$0.00	(\$29.67)	Box 6: Gross Proceeds

**THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES**  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**

**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
VENAXIS INC	200.00000	05/17/2016	09/14/2016	\$733.59	\$819.67	\$0.00	\$0.00	(\$86.08)	Box 6: Gross Proceeds
COM NEW	200.00000	05/17/2016	09/14/2016	\$740.18	\$819.67	\$0.00	\$0.00	(\$79.49)	Box 6: Gross Proceeds
CUSIP: 92262A206	200.00000	05/17/2016	09/14/2016	\$742.98	\$819.67	\$0.00	\$0.00	(\$76.69)	Box 6: Gross Proceeds
	200.00000	05/17/2016	09/14/2016	\$747.98	\$810.00	\$0.00	\$0.00	(\$62.02)	Box 6: Gross Proceeds
	200.00000	05/17/2016	09/14/2016	\$752.19	\$810.00	\$0.00	\$0.00	(\$57.81)	Box 6: Gross Proceeds
	300.00000	05/17/2016	09/14/2016	\$1,110.27	\$1,229.50	\$0.00	\$0.00	(\$119.23)	Box 6: Gross Proceeds
	400.00000	05/17/2016	09/14/2016	\$1,488.36	\$1,620.00	\$0.00	\$0.00	(\$131.64)	Box 6: Gross Proceeds
	499.00000	05/17/2016	09/14/2016	\$1,851.24	\$1,937.12	\$0.00	\$0.00	(\$85.88)	Box 6: Gross Proceeds
	600.00000	05/17/2016	09/14/2016	\$2,229.96	\$2,430.00	\$0.00	\$0.00	(\$200.04)	Box 6: Gross Proceeds
	600.00000	05/17/2016	09/14/2016	\$2,309.94	\$2,405.22	\$0.00	\$0.00	(\$95.28)	Box 6: Gross Proceeds
	102.00000	05/17/2016	09/14/2016	\$392.18	\$416.46	\$0.00	\$0.00	(\$24.28)	Box 6: Gross Proceeds
	698.00000	05/17/2016	09/14/2016	\$2,683.75	\$2,826.90	\$0.00	\$0.00	(\$143.15)	Box 6: Gross Proceeds
	900.00000	05/17/2016	09/14/2016	\$3,520.45	\$3,607.83	\$0.00	\$0.00	(\$87.38)	Box 6: Gross Proceeds
	500.00000	05/17/2016	09/14/2016	\$1,927.29	\$2,004.35	\$0.00	\$15.72	(\$77.06)	Box 6: Gross Proceeds
	1,000.00000	05/17/2016	09/14/2016	\$3,854.59	\$4,094.99	\$0.00	\$240.40	(\$240.40)	Box 6: Gross Proceeds
	1,800.00000	05/17/2016	09/14/2016	\$6,695.85	\$7,290.00	\$0.00	\$0.00	(\$594.15)	Box 6: Gross Proceeds
	300.00000	05/17/2016	09/14/2016	\$1,109.98	\$1,188.00	\$0.00	\$0.00	(\$78.02)	Box 6: Gross Proceeds
	600.00000	05/17/2016	09/14/2016	\$2,219.95	\$2,405.22	\$0.00	\$0.00	(\$185.27)	Box 6: Gross Proceeds
	1,200.00000	05/17/2016	09/14/2016	\$4,439.90	\$4,918.00	\$0.00	\$0.00	(\$478.10)	Box 6: Gross Proceeds
	2,500.00000	05/17/2016	09/14/2016	\$9,291.80	\$9,705.00	\$0.00	\$0.00	(\$413.20)	Box 6: Gross Proceeds
	600.00000	05/17/2016	09/14/2016	\$2,265.97	\$2,459.00	\$0.00	\$0.00	(\$193.03)	Box 6: Gross Proceeds
	2,000.00000	05/17/2016	09/14/2016	\$7,553.23	\$7,764.00	\$0.00	\$0.00	(\$210.77)	Box 6: Gross Proceeds
	1,102.00000	05/17/2016	09/14/2016	\$4,187.51	\$4,463.10	\$0.00	\$0.00	(\$275.59)	Box 6: Gross Proceeds
	3,000.00000	05/17/2016	09/14/2016	\$11,022.76	\$11,979.99	\$0.00	\$0.00	(\$957.23)	Box 6: Gross Proceeds
	175.00000	05/17/2016	09/14/2016	\$656.64	\$716.99	\$0.00	\$0.00	(\$60.35)	Box 6: Gross Proceeds
	1,000.00000	05/17/2016	09/14/2016	\$3,752.25	\$4,055.19	\$0.00	\$0.00	(\$302.94)	Box 6: Gross Proceeds
	1,825.00000	05/17/2016	09/14/2016	\$6,847.86	\$7,391.25	\$0.00	\$0.00	(\$543.39)	Box 6: Gross Proceeds

**THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES**  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092  
Account Executive No: ET1  
ORIGINAL: 12/31/2016

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED****OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
Box 5: Box Not Checked (Covered Security)

Box 3: Basis Reported to the IRS

Box 2: Type of Gain or Loss -Short-Term

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
VENAXIS INC	3,000.00000	05/17/2016	09/14/2016	\$11,571.75	\$12,150.00	\$0.00	\$0.00	(\$578.25)	Box 6: Gross Proceeds
COM NEW	200.00000	05/17/2016	09/15/2016	\$797.99	\$816.58	\$0.00	\$0.00	(\$18.59)	Box 6: Gross Proceeds
CUSIP: 92262A206	200.00000	05/17/2016	09/15/2016	\$803.98	\$816.58	\$0.00	\$0.00	(\$12.60)	Box 6: Gross Proceeds
	400.00000	05/17/2016	09/15/2016	\$1,608.36	\$1,633.16	\$0.00	\$0.00	(\$24.80)	Box 6: Gross Proceeds
	98.00000	05/17/2016	09/15/2016	\$392.97	\$400.13	\$0.00	\$0.00	(\$7.16)	Box 6: Gross Proceeds
	102.00000	05/17/2016	09/15/2016	\$409.01	\$407.65	\$0.00	\$0.00	\$1.36	Box 6: Gross Proceeds
	100.00000	05/25/2016	09/15/2016	\$416.99	\$322.10	\$0.00	\$0.00	\$94.89	Box 6: Gross Proceeds
	100.00000	05/25/2016	09/15/2016	\$418.00	\$328.32	\$0.00	\$0.00	\$89.68	Box 6: Gross Proceeds
	100.00000	05/25/2016	09/15/2016	\$419.49	\$322.10	\$0.00	\$0.00	\$97.39	Box 6: Gross Proceeds
	200.00000	05/25/2016	09/15/2016	\$837.99	\$644.19	\$0.00	\$0.00	\$193.80	Box 6: Gross Proceeds
	300.00000	05/25/2016	09/15/2016	\$1,271.97	\$984.97	\$0.00	\$0.00	\$287.00	Box 6: Gross Proceeds
	400.00000	05/25/2016	09/15/2016	\$1,687.97	\$1,313.30	\$0.00	\$0.00	\$374.67	Box 6: Gross Proceeds
	600.00000	05/25/2016	09/15/2016	\$2,594.34	\$1,969.94	\$0.00	\$0.00	\$624.40	Box 6: Gross Proceeds
	600.00000	05/25/2016	09/15/2016	\$2,594.34	\$1,969.94	\$0.00	\$0.00	\$624.40	Box 6: Gross Proceeds
	700.00000	05/25/2016	09/15/2016	\$2,904.93	\$2,254.67	\$0.00	\$0.00	\$650.26	Box 6: Gross Proceeds
	900.00000	05/25/2016	09/15/2016	\$3,726.92	\$2,898.87	\$0.00	\$0.00	\$828.05	Box 6: Gross Proceeds
	4,000.00000	05/25/2016	09/15/2016	\$16,039.65	\$13,105.71	\$0.00	\$0.00	\$2,933.94	Box 6: Gross Proceeds
	5,000.00000	05/25/2016	09/15/2016	\$20,388.06	\$16,449.50	\$0.00	\$0.00	\$3,938.56	Box 6: Gross Proceeds
	896.00000	05/25/2016	09/15/2016	\$3,653.54	\$2,947.75	\$0.00	\$0.00	\$705.79	Box 6: Gross Proceeds
	1,104.00000	05/25/2016	09/15/2016	\$4,501.68	\$3,631.11	\$0.00	\$0.00	\$870.57	Box 6: Gross Proceeds
	3,000.00000	05/25/2016	09/15/2016	\$12,232.84	\$9,829.28	\$0.00	\$0.00	\$2,403.56	Box 6: Gross Proceeds
	5,000.00000	05/25/2016	09/15/2016	\$20,388.06	\$16,416.21	\$0.00	\$0.00	\$3,971.85	Box 6: Gross Proceeds
	500.00000	05/25/2016	09/19/2016	\$2,216.96	\$1,610.48	\$0.00	\$0.00	\$606.48	Box 6: Gross Proceeds
	400.00000	05/25/2016	12/01/2016	\$2,107.96	\$1,288.39	\$0.00	\$0.00	\$819.57	Box 6: Gross Proceeds
	100.00000	05/25/2016	12/05/2016	\$405.60	\$322.10	\$0.00	\$0.00	\$83.50	Box 6: Gross Proceeds
<b>Subtotals</b>	<b>109,383.00000</b>			<b>\$409,898.50</b>	<b>\$381,323.20</b>	<b>\$0.00</b>	<b>\$391.84</b>	<b>\$28,575.30</b>	

**THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES**  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: **8290**  
Account Name: **ROBERT B LADD**  
Taxpayer Identification Number: **\*\*\*-\*\*-0092**

Account Executive No: **ET1**

ORIGINAL: **12/31/2016**

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
Box 5: Box Not Checked (Covered Security)

Box 3: Basis Reported to the IRS

Box 2: Type of Gain or Loss -Short-Term

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
WORKHORSE GROUP INC	800.00000	09/19/2016	10/03/2016	\$5,329.49	\$7,917.59	\$0.00	\$0.00	(\$2,588.10)	Box 6: Gross Proceeds
COM	200.00000	09/19/2016	10/10/2016	\$1,455.97	\$1,979.40	\$0.00	\$0.00	(\$523.43)	Box 6: Gross Proceeds
CUSIP: 98138J206									
<b>Subtotals</b>	<b>1,000.00000</b>			<b>\$6,785.46</b>	<b>\$9,896.99</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>(\$3,111.53)</b>	
ZIOPHARM ONCOLOGY INC	200.00000	06/02/2016	06/02/2016	\$1,561.97	\$1,556.00	\$0.00	\$0.00	\$5.97	Box 6: Gross Proceeds
CUSIP: 98973P101	200.00000	06/02/2016	06/02/2016	\$1,568.96	\$1,556.00	\$0.00	\$0.00	\$12.96	Box 6: Gross Proceeds
	500.00000	06/02/2016	06/02/2016	\$3,916.92	\$3,890.00	\$0.00	\$0.00	\$26.92	Box 6: Gross Proceeds
	500.00000	06/02/2016	06/02/2016	\$3,918.67	\$3,890.00	\$0.00	\$0.00	\$28.67	Box 6: Gross Proceeds
	500.00000	06/02/2016	06/02/2016	\$3,918.67	\$3,890.00	\$0.00	\$0.00	\$28.67	Box 6: Gross Proceeds
	600.00000	06/02/2016	06/02/2016	\$4,703.95	\$4,668.00	\$0.00	\$0.00	\$35.95	Box 6: Gross Proceeds
	1,000.00000	06/02/2016	06/02/2016	\$7,833.93	\$7,780.00	\$0.00	\$0.00	\$53.93	Box 6: Gross Proceeds
	2,000.00000	06/02/2016	06/02/2016	\$15,506.67	\$15,560.00	\$0.00	\$53.33	(\$53.33)	Box 6: Gross Proceeds
	700.00000	06/02/2016	06/02/2016	\$5,455.33	\$5,445.93	\$0.00	\$0.00	\$9.40	Box 6: Gross Proceeds
	1,300.00000	06/02/2016	06/02/2016	\$10,131.34	\$10,115.49	\$0.00	\$0.00	\$15.85	Box 6: Gross Proceeds
	2,000.00000	06/02/2016	06/02/2016	\$15,617.26	\$15,560.00	\$0.00	\$0.00	\$57.26	Box 6: Gross Proceeds
	500.00000	06/02/2016	06/06/2016	\$3,603.68	\$3,890.00	\$0.00	\$286.32	(\$286.32)	Box 6: Gross Proceeds
	500.00000	06/02/2016	06/06/2016	\$3,646.93	\$3,682.28	\$0.00	\$35.35	(\$35.35)	Box 6: Gross Proceeds
	500.00000	06/02/2016	06/06/2016	\$3,648.68	\$3,674.00	\$0.00	\$0.00	(\$25.32)	Box 6: Gross Proceeds
	200.00000	06/02/2016	06/06/2016	\$1,460.77	\$1,469.59	\$0.00	\$0.00	(\$8.82)	Box 6: Gross Proceeds
	300.00000	06/02/2016	06/06/2016	\$2,191.16	\$2,198.00	\$0.00	\$0.00	(\$6.84)	Box 6: Gross Proceeds
	500.00000	06/02/2016	06/06/2016	\$3,666.92	\$3,934.27	\$0.00	\$0.00	(\$267.35)	Box 6: Gross Proceeds
	500.00000	06/02/2016	06/06/2016	\$3,666.92	\$3,682.28	\$0.00	\$15.36	(\$15.36)	Box 6: Gross Proceeds
	500.00000	06/02/2016	06/06/2016	\$3,679.42	\$3,683.30	\$0.00	\$0.00	(\$3.88)	Box 6: Gross Proceeds
	500.00000	06/02/2016	06/06/2016	\$3,703.67	\$3,638.30	\$0.00	\$0.00	\$65.37	Box 6: Gross Proceeds
<b>Subtotals</b>	<b>13,500.00000</b>			<b>\$103,401.82</b>	<b>\$103,763.44</b>	<b>\$0.00</b>	<b>\$390.36</b>	<b>(\$361.62)</b>	

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: **8290**  
Account Name: **ROBERT B LADD**  
Taxpayer Identification Number: **\*\*\*-\*\*-0092**

Account Executive No: **ET1**

ORIGINAL: **12/31/2016**

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**

**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
***HERBALIFE LTD COMMON STOCK CUSIP: G4412G101	50.00000	07/15/2016	07/15/2016	\$3,231.06	\$3,616.11	\$0.00	\$0.00	(\$385.05)	Box 6: Gross Proceeds
	50.00000	07/15/2016	07/15/2016	\$3,226.43	\$3,401.99	\$0.00	\$175.56	(\$175.56)	Box 6: Gross Proceeds
	50.00000	07/15/2016	07/15/2016	\$3,226.43	\$3,628.54	\$0.00	\$402.11	(\$402.11)	Box 6: Gross Proceeds
	12.00000	07/15/2016	07/15/2016	\$779.71	\$857.35	\$0.00	\$0.00	(\$77.64)	Box 6: Gross Proceeds
	38.00000	07/15/2016	07/15/2016	\$2,469.07	\$2,719.89	\$0.00	\$0.00	(\$250.82)	Box 6: Gross Proceeds
	50.00000	07/15/2016	07/15/2016	\$3,248.78	\$3,389.56	\$0.00	\$0.00	(\$140.78)	Box 6: Gross Proceeds
	50.00000	07/15/2016	07/15/2016	\$3,281.43	\$3,592.72	\$0.00	\$311.29	(\$311.29)	Box 6: Gross Proceeds
	50.00000	07/15/2016	07/15/2016	\$3,281.43	\$3,636.23	\$0.00	\$354.80	(\$354.80)	Box 6: Gross Proceeds
	50.00000	07/15/2016	07/15/2016	\$3,351.26	\$3,479.50	\$0.00	\$128.24	(\$128.24)	Box 6: Gross Proceeds
	100.00000	07/15/2016	07/15/2016	\$6,702.53	\$7,015.99	\$0.00	\$313.46	(\$313.46)	Box 6: Gross Proceeds
<b>Subtotals</b>	<b>500.00000</b>			<b>\$32,798.13</b>	<b>\$35,337.88</b>	<b>\$0.00</b>	<b>\$1,685.46</b>	<b>(\$2,539.75)</b>	
***DRYSHIPS INC COM PAR \$0.01 NEW CUSIP: Y2109Q309	14.00000	11/17/2016	11/17/2016	\$240.63	\$325.44	\$0.00	\$84.81	(\$84.81)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/17/2016	\$1,443.80	\$1,952.40	\$0.00	\$508.60	(\$508.60)	Box 6: Gross Proceeds
	99.00000	11/17/2016	11/17/2016	\$1,217.60	\$2,999.10	\$0.00	\$1,781.50	(\$1,781.50)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/17/2016	\$12.35	\$30.29	\$0.00	\$17.94	(\$17.94)	Box 6: Gross Proceeds
	99.00000	11/17/2016	11/17/2016	\$1,222.62	\$2,995.86	\$0.00	\$1,773.24	(\$1,773.24)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/17/2016	\$1,799.96	\$3,295.42	\$0.00	\$1,495.46	(\$1,495.46)	Box 6: Gross Proceeds
	200.00000	11/17/2016	11/17/2016	\$3,471.93	\$6,690.34	\$0.00	\$3,218.41	(\$3,218.41)	Box 6: Gross Proceeds
	50.00000	11/17/2016	11/17/2016	\$806.00	\$1,156.88	\$0.00	\$350.88	(\$350.88)	Box 6: Gross Proceeds
	66.00000	11/17/2016	11/17/2016	\$1,063.92	\$1,535.00	\$0.00	\$471.08	(\$471.08)	Box 6: Gross Proceeds
	86.00000	11/17/2016	11/17/2016	\$1,386.32	\$1,999.14	\$0.00	\$612.82	(\$612.82)	Box 6: Gross Proceeds
	16.00000	11/17/2016	11/17/2016	\$281.33	\$371.88	\$0.00	\$90.55	(\$90.55)	Box 6: Gross Proceeds
	91.00000	11/17/2016	11/17/2016	\$1,600.05	\$2,122.81	\$0.00	\$522.76	(\$522.76)	Box 6: Gross Proceeds
	93.00000	11/17/2016	11/17/2016	\$1,635.22	\$2,154.60	\$0.00	\$519.38	(\$519.38)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/17/2016	\$1,758.30	\$2,325.38	\$0.00	\$567.08	(\$567.08)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/17/2016	\$12.34	\$30.26	\$0.00	\$17.92	(\$17.92)	Box 6: Gross Proceeds

**THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES**  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: **8290**  
Account Name: **ROBERT B LADD**  
Taxpayer Identification Number: **\*\*\*-\*\*-0092**

Account Executive No: **ET1**

ORIGINAL: **12/31/2016**

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**

**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
***DRYSHIPS INC COM PAR \$0.01 NEW CUSIP: Y2109Q309	16.00000	11/17/2016	11/17/2016	\$197.44	\$315.41	\$0.00	\$117.97	(\$117.97)	Box 6: Gross Proceeds
	91.00000	11/17/2016	11/17/2016	\$1,122.91	\$1,800.57	\$0.00	\$677.66	(\$677.66)	Box 6: Gross Proceeds
	93.00000	11/17/2016	11/17/2016	\$1,147.59	\$1,825.28	\$0.00	\$677.69	(\$677.69)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/17/2016	\$1,233.97	\$3,023.52	\$0.00	\$1,789.55	(\$1,789.55)	Box 6: Gross Proceeds
	12.00000	11/17/2016	11/17/2016	\$208.86	\$402.14	\$0.00	\$193.28	(\$193.28)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/17/2016	\$1,740.46	\$3,355.39	\$0.00	\$1,614.93	(\$1,614.93)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/17/2016	\$1,740.46	\$3,359.79	\$0.00	\$1,619.33	(\$1,619.33)	Box 6: Gross Proceeds
	188.00000	11/17/2016	11/17/2016	\$3,272.06	\$6,314.26	\$0.00	\$3,042.20	(\$3,042.20)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/17/2016	\$12.28	\$30.84	\$0.00	\$18.56	(\$18.56)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/17/2016	\$12.28	\$30.85	\$0.00	\$18.57	(\$18.57)	Box 6: Gross Proceeds
	12.00000	11/17/2016	11/17/2016	\$147.32	\$369.42	\$0.00	\$222.10	(\$222.10)	Box 6: Gross Proceeds
	88.00000	11/17/2016	11/17/2016	\$1,080.37	\$2,715.69	\$0.00	\$1,635.32	(\$1,635.32)	Box 6: Gross Proceeds
	99.00000	11/17/2016	11/17/2016	\$1,215.41	\$3,058.60	\$0.00	\$1,843.19	(\$1,843.19)	Box 6: Gross Proceeds
	99.00000	11/17/2016	11/17/2016	\$1,215.42	\$3,053.31	\$0.00	\$1,837.89	(\$1,837.89)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/17/2016	\$1,227.69	\$3,082.55	\$0.00	\$1,854.86	(\$1,854.86)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/17/2016	\$1,227.70	\$3,077.01	\$0.00	\$1,849.31	(\$1,849.31)	Box 6: Gross Proceeds
	12.00000	11/17/2016	11/17/2016	\$148.36	\$362.62	\$0.00	\$214.26	(\$214.26)	Box 6: Gross Proceeds
	50.00000	11/17/2016	11/17/2016	\$618.19	\$1,040.02	\$0.00	\$421.83	(\$421.83)	Box 6: Gross Proceeds
	66.00000	11/17/2016	11/17/2016	\$816.01	\$1,380.74	\$0.00	\$564.73	(\$564.73)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/17/2016	\$1,038.55	\$1,756.33	\$0.00	\$717.78	(\$717.78)	Box 6: Gross Proceeds
	88.00000	11/17/2016	11/17/2016	\$1,088.01	\$2,665.86	\$0.00	\$1,577.85	(\$1,577.85)	Box 6: Gross Proceeds
	200.00000	11/17/2016	11/17/2016	\$2,472.75	\$6,040.80	\$0.00	\$3,568.05	(\$3,568.05)	Box 6: Gross Proceeds
	2.00000	11/17/2016	11/17/2016	\$24.91	\$41.76	\$0.00	\$16.85	(\$16.85)	Box 6: Gross Proceeds
	14.00000	11/17/2016	11/17/2016	\$174.34	\$277.27	\$0.00	\$102.93	(\$102.93)	Box 6: Gross Proceeds
	16.00000	11/17/2016	11/17/2016	\$199.24	\$310.50	\$0.00	\$111.26	(\$111.26)	Box 6: Gross Proceeds
	50.00000	11/17/2016	11/17/2016	\$622.64	\$1,096.23	\$0.00	\$473.59	(\$473.59)	Box 6: Gross Proceeds
	66.00000	11/17/2016	11/17/2016	\$821.88	\$1,454.94	\$0.00	\$633.06	(\$633.06)	Box 6: Gross Proceeds

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092  
Account Executive No: ET1  
ORIGINAL: 12/31/2016

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED****OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS****Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
***DRYSHIPS INC COM PAR \$0.01 NEW CUSIP: Y2109Q309	84.00000	11/17/2016	11/17/2016	\$1,046.03	\$1,631.10	\$0.00	\$585.07	(\$585.07)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/17/2016	\$1,046.03	\$1,663.36	\$0.00	\$617.33	(\$617.33)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/17/2016	\$1,046.03	\$1,850.77	\$0.00	\$804.74	(\$804.74)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/17/2016	\$1,245.27	\$3,132.82	\$0.00	\$1,887.55	(\$1,887.55)	Box 6: Gross Proceeds
	12.00000	11/17/2016	11/17/2016	\$196.24	\$393.47	\$0.00	\$197.23	(\$197.23)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/17/2016	\$1,635.37	\$3,283.21	\$0.00	\$1,647.84	(\$1,647.84)	Box 6: Gross Proceeds
	188.00000	11/17/2016	11/17/2016	\$3,074.49	\$6,178.57	\$0.00	\$3,104.08	(\$3,104.08)	Box 6: Gross Proceeds
	200.00000	11/17/2016	11/17/2016	\$3,270.73	\$6,554.97	\$0.00	\$3,284.24	(\$3,284.24)	Box 6: Gross Proceeds
	2.00000	11/17/2016	11/17/2016	\$32.84	\$47.62	\$0.00	\$14.78	(\$14.78)	Box 6: Gross Proceeds
	14.00000	11/17/2016	11/17/2016	\$229.93	\$318.37	\$0.00	\$88.44	(\$88.44)	Box 6: Gross Proceeds
	16.00000	11/17/2016	11/17/2016	\$262.78	\$357.47	\$0.00	\$94.69	(\$94.69)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/17/2016	\$1,379.59	\$1,909.96	\$0.00	\$530.37	(\$530.37)	Box 6: Gross Proceeds
	91.00000	11/17/2016	11/17/2016	\$1,494.55	\$2,040.89	\$0.00	\$546.34	(\$546.34)	Box 6: Gross Proceeds
	93.00000	11/17/2016	11/17/2016	\$1,527.40	\$2,070.88	\$0.00	\$543.48	(\$543.48)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/17/2016	\$1,642.37	\$2,235.36	\$0.00	\$592.99	(\$592.99)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/17/2016	\$1,642.37	\$3,287.61	\$0.00	\$1,645.24	(\$1,645.24)	Box 6: Gross Proceeds
	12.00000	11/17/2016	11/17/2016	\$216.52	\$394.94	\$0.00	\$178.42	(\$178.42)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/17/2016	\$1,804.37	\$3,295.43	\$0.00	\$1,491.06	(\$1,491.06)	Box 6: Gross Proceeds
	188.00000	11/17/2016	11/17/2016	\$3,392.20	\$6,201.51	\$0.00	\$2,809.31	(\$2,809.31)	Box 6: Gross Proceeds
	200.00000	11/17/2016	11/17/2016	\$3,608.72	\$6,570.40	\$0.00	\$2,961.68	(\$2,961.68)	Box 6: Gross Proceeds
	12.00000	11/17/2016	11/17/2016	\$204.80	\$317.78	\$0.00	\$112.98	(\$112.98)	Box 6: Gross Proceeds
	188.00000	11/17/2016	11/17/2016	\$3,208.46	\$4,992.56	\$0.00	\$1,784.10	(\$1,784.10)	Box 6: Gross Proceeds
	200.00000	11/17/2016	11/17/2016	\$3,413.26	\$5,284.30	\$0.00	\$1,871.04	(\$1,871.04)	Box 6: Gross Proceeds
	200.00000	11/17/2016	11/17/2016	\$3,413.26	\$5,304.73	\$0.00	\$1,891.47	(\$1,891.47)	Box 6: Gross Proceeds
	12.00000	11/17/2016	11/17/2016	\$213.46	\$360.52	\$0.00	\$147.06	(\$147.06)	Box 6: Gross Proceeds
	188.00000	11/17/2016	11/17/2016	\$3,344.23	\$5,662.29	\$0.00	\$2,318.06	(\$2,318.06)	Box 6: Gross Proceeds
	200.00000	11/17/2016	11/17/2016	\$3,557.70	\$5,996.77	\$0.00	\$2,439.07	(\$2,439.07)	Box 6: Gross Proceeds

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES

The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return, a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: **8290**  
Account Name: **ROBERT B LADD**  
Taxpayer Identification Number: **\*\*\*-\*\*-0092**

Account Executive No: **ET1**

ORIGINAL: **12/31/2016**

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**

**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
***DRYSHIPS INC COM PAR \$0.01 NEW CUSIP: Y2109Q309	200.00000	11/17/2016	11/17/2016	\$3,557.70	\$6,017.21	\$0.00	\$2,459.51	(\$2,459.51)	Box 6: Gross Proceeds
	600.00000	11/17/2016	11/17/2016	\$10,791.77	\$13,958.43	\$0.00	\$3,166.66	(\$3,166.66)	Box 6: Gross Proceeds
	600.00000	11/17/2016	11/17/2016	\$10,812.77	\$12,377.20	\$0.00	\$1,564.43	(\$1,564.43)	Box 6: Gross Proceeds
	188.00000	11/17/2016	11/17/2016	\$4,071.37	\$4,529.39	\$0.00	\$458.02	(\$458.02)	Box 6: Gross Proceeds
	200.00000	11/17/2016	11/17/2016	\$4,331.24	\$4,812.00	\$0.00	\$480.76	(\$480.76)	Box 6: Gross Proceeds
	212.00000	11/17/2016	11/17/2016	\$4,591.11	\$5,091.75	\$0.00	\$500.64	(\$500.64)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/18/2016	\$18.38	\$27.68	\$0.00	\$9.30	(\$9.30)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/18/2016	\$1,544.19	\$2,324.13	\$0.00	\$779.94	(\$779.94)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/18/2016	\$11.76	\$29.76	\$0.00	\$18.00	(\$18.00)	Box 6: Gross Proceeds
	99.00000	11/17/2016	11/18/2016	\$1,163.82	\$2,945.09	\$0.00	\$1,781.27	(\$1,781.27)	Box 6: Gross Proceeds
	9.00000	11/17/2016	11/18/2016	\$114.21	\$166.87	\$0.00	\$52.66	(\$52.66)	Box 6: Gross Proceeds
	91.00000	11/17/2016	11/18/2016	\$1,154.77	\$1,701.88	\$0.00	\$547.11	(\$547.11)	Box 6: Gross Proceeds
	16.00000	11/17/2016	11/18/2016	\$204.16	\$298.07	\$0.00	\$93.91	(\$93.91)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/18/2016	\$1,071.81	\$1,557.52	\$0.00	\$485.71	(\$485.71)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/18/2016	\$12.97	\$21.98	\$0.00	\$9.01	(\$9.01)	Box 6: Gross Proceeds
	15.00000	11/17/2016	11/18/2016	\$194.55	\$329.09	\$0.00	\$134.54	(\$134.54)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/18/2016	\$1,089.46	\$1,844.34	\$0.00	\$754.88	(\$754.88)	Box 6: Gross Proceeds
	16.00000	11/17/2016	11/18/2016	\$208.16	\$305.79	\$0.00	\$97.63	(\$97.63)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/18/2016	\$1,092.82	\$1,606.30	\$0.00	\$513.48	(\$513.48)	Box 6: Gross Proceeds
	50.00000	11/17/2016	11/18/2016	\$651.98	\$1,090.96	\$0.00	\$438.98	(\$438.98)	Box 6: Gross Proceeds
	50.00000	11/17/2016	11/18/2016	\$651.99	\$1,096.96	\$0.00	\$444.97	(\$444.97)	Box 6: Gross Proceeds
	2.00000	11/17/2016	11/18/2016	\$26.12	\$41.30	\$0.00	\$15.18	(\$15.18)	Box 6: Gross Proceeds
	14.00000	11/17/2016	11/18/2016	\$182.84	\$274.04	\$0.00	\$91.20	(\$91.20)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/18/2016	\$1,097.01	\$1,644.01	\$0.00	\$547.00	(\$547.00)	Box 6: Gross Proceeds
	12.00000	11/17/2016	11/18/2016	\$198.60	\$399.73	\$0.00	\$201.13	(\$201.13)	Box 6: Gross Proceeds
	88.00000	11/17/2016	11/18/2016	\$1,456.37	\$2,937.92	\$0.00	\$1,481.55	(\$1,481.55)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/18/2016	\$16.55	\$33.27	\$0.00	\$16.72	(\$16.72)	Box 6: Gross Proceeds



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092  
Account Executive No: ET1  
ORIGINAL: 12/31/2016

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED****OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
Box 5: Box Not Checked (Covered Security)

Box 3: Basis Reported to the IRS

Box 2: Type of Gain or Loss -Short-Term

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
***DRYSHIPS INC COM PAR \$0.01 NEW CUSIP: Y2109Q309	99.00000	11/17/2016	11/18/2016	\$1,638.42	\$3,299.72	\$0.00	\$1,661.30	(\$1,661.30)	Box 6: Gross Proceeds
	2.00000	11/17/2016	11/18/2016	\$36.66	\$53.03	\$0.00	\$16.37	(\$16.37)	Box 6: Gross Proceeds
	14.00000	11/17/2016	11/18/2016	\$256.65	\$356.16	\$0.00	\$99.51	(\$99.51)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/18/2016	\$1,539.89	\$2,136.72	\$0.00	\$596.83	(\$596.83)	Box 6: Gross Proceeds
	16.00000	11/17/2016	11/18/2016	\$294.35	\$400.67	\$0.00	\$106.32	(\$106.32)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/18/2016	\$1,545.34	\$2,104.46	\$0.00	\$559.12	(\$559.12)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/18/2016	\$2,018.96	\$3,867.95	\$0.00	\$1,848.99	(\$1,848.99)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/18/2016	\$2,026.96	\$3,906.19	\$0.00	\$1,879.23	(\$1,879.23)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/18/2016	\$21.33	\$39.80	\$0.00	\$18.47	(\$18.47)	Box 6: Gross Proceeds
	99.00000	11/17/2016	11/18/2016	\$2,111.63	\$3,939.46	\$0.00	\$1,827.83	(\$1,827.83)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/18/2016	\$2,141.95	\$3,977.66	\$0.00	\$1,835.71	(\$1,835.71)	Box 6: Gross Proceeds
	50.00000	11/17/2016	11/18/2016	\$920.60	\$1,377.99	\$0.00	\$457.39	(\$457.39)	Box 6: Gross Proceeds
	65.00000	11/17/2016	11/18/2016	\$1,196.78	\$1,799.19	\$0.00	\$602.41	(\$602.41)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/18/2016	\$1,182.97	\$3,023.54	\$0.00	\$1,840.57	(\$1,840.57)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/18/2016	\$1,182.98	\$2,993.32	\$0.00	\$1,810.34	(\$1,810.34)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/18/2016	\$11.87	\$28.21	\$0.00	\$16.34	(\$16.34)	Box 6: Gross Proceeds
	12.00000	11/17/2016	11/18/2016	\$142.56	\$338.99	\$0.00	\$196.43	(\$196.43)	Box 6: Gross Proceeds
	88.00000	11/17/2016	11/18/2016	\$1,045.42	\$2,492.51	\$0.00	\$1,447.09	(\$1,447.09)	Box 6: Gross Proceeds
	99.00000	11/17/2016	11/18/2016	\$1,176.10	\$2,798.63	\$0.00	\$1,622.53	(\$1,622.53)	Box 6: Gross Proceeds
	2.00000	11/17/2016	11/18/2016	\$24.15	\$39.54	\$0.00	\$15.39	(\$15.39)	Box 6: Gross Proceeds
	14.00000	11/17/2016	11/18/2016	\$169.12	\$261.69	\$0.00	\$92.57	(\$92.57)	Box 6: Gross Proceeds
	16.00000	11/17/2016	11/18/2016	\$193.28	\$292.48	\$0.00	\$99.20	(\$99.20)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/18/2016	\$1,014.70	\$1,536.43	\$0.00	\$521.73	(\$521.73)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/18/2016	\$1,014.70	\$1,569.95	\$0.00	\$555.25	(\$555.25)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/18/2016	\$12.23	\$21.19	\$0.00	\$8.96	(\$8.96)	Box 6: Gross Proceeds
	15.00000	11/17/2016	11/18/2016	\$183.48	\$317.21	\$0.00	\$133.73	(\$133.73)	Box 6: Gross Proceeds
	50.00000	11/17/2016	11/18/2016	\$611.58	\$1,047.88	\$0.00	\$436.30	(\$436.30)	Box 6: Gross Proceeds

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: **8290**  
Account Name: **ROBERT B LADD**  
Taxpayer Identification Number: **\*\*\*-\*\*-0092**

Account Executive No: **ET1**

ORIGINAL: **12/31/2016**

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**

**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
**DRYSHIPS INC COM PAR \$0.01 NEW CUSIP: Y2109Q309	50.00000	11/17/2016	11/18/2016	\$611.59	\$1,053.87	\$0.00	\$442.28	(\$442.28)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/18/2016	\$1,027.47	\$1,777.83	\$0.00	\$750.36	(\$750.36)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/18/2016	\$12.41	\$28.90	\$0.00	\$16.49	(\$16.49)	Box 6: Gross Proceeds
	12.00000	11/17/2016	11/18/2016	\$149.04	\$347.27	\$0.00	\$198.23	(\$198.23)	Box 6: Gross Proceeds
	88.00000	11/17/2016	11/18/2016	\$1,092.94	\$2,553.21	\$0.00	\$1,460.27	(\$1,460.27)	Box 6: Gross Proceeds
	99.00000	11/17/2016	11/18/2016	\$1,229.56	\$2,866.92	\$0.00	\$1,637.36	(\$1,637.36)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/18/2016	\$12.56	\$30.70	\$0.00	\$18.14	(\$18.14)	Box 6: Gross Proceeds
	99.00000	11/17/2016	11/18/2016	\$1,243.42	\$3,037.73	\$0.00	\$1,794.31	(\$1,794.31)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/18/2016	\$1,255.97	\$3,057.83	\$0.00	\$1,801.86	(\$1,801.86)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/18/2016	\$12.71	\$31.23	\$0.00	\$18.52	(\$18.52)	Box 6: Gross Proceeds
	99.00000	11/17/2016	11/18/2016	\$1,258.76	\$3,090.87	\$0.00	\$1,832.11	(\$1,832.11)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/18/2016	\$1,271.48	\$3,111.51	\$0.00	\$1,840.03	(\$1,840.03)	Box 6: Gross Proceeds
	16.00000	11/17/2016	11/18/2016	\$204.31	\$307.53	\$0.00	\$103.22	(\$103.22)	Box 6: Gross Proceeds
	91.00000	11/17/2016	11/18/2016	\$1,162.05	\$1,755.73	\$0.00	\$593.68	(\$593.68)	Box 6: Gross Proceeds
	93.00000	11/17/2016	11/18/2016	\$1,187.59	\$1,779.43	\$0.00	\$591.84	(\$591.84)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/18/2016	\$1,322.47	\$3,124.79	\$0.00	\$1,802.32	(\$1,802.32)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/18/2016	\$1,322.48	\$3,155.03	\$0.00	\$1,832.55	(\$1,832.55)	Box 6: Gross Proceeds
	16.00000	11/17/2016	11/18/2016	\$296.76	\$407.38	\$0.00	\$110.62	(\$110.62)	Box 6: Gross Proceeds
	91.00000	11/17/2016	11/18/2016	\$1,687.83	\$2,323.67	\$0.00	\$635.84	(\$635.84)	Box 6: Gross Proceeds
	93.00000	11/17/2016	11/18/2016	\$1,724.93	\$2,359.87	\$0.00	\$634.94	(\$634.94)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/18/2016	\$1,912.96	\$3,658.11	\$0.00	\$1,745.15	(\$1,745.15)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/18/2016	\$1,912.96	\$3,696.35	\$0.00	\$1,783.39	(\$1,783.39)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/18/2016	\$19.61	\$36.65	\$0.00	\$17.04	(\$17.04)	Box 6: Gross Proceeds
	12.00000	11/17/2016	11/18/2016	\$235.27	\$439.16	\$0.00	\$203.89	(\$203.89)	Box 6: Gross Proceeds
	88.00000	11/17/2016	11/18/2016	\$1,725.29	\$3,227.06	\$0.00	\$1,501.77	(\$1,501.77)	Box 6: Gross Proceeds
	99.00000	11/17/2016	11/18/2016	\$1,940.95	\$3,633.90	\$0.00	\$1,692.95	(\$1,692.95)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/18/2016	\$21.31	\$30.53	\$0.00	\$9.22	(\$9.22)	Box 6: Gross Proceeds

**THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES**  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
Box 5: Box Not Checked (Covered Security)

Box 3: Basis Reported to the IRS

Box 2: Type of Gain or Loss -Short-Term

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
**DRYSHIPS INC COM PAR \$0.01 NEW CUSIP: Y2109Q309	50.00000	11/17/2016	11/18/2016	\$1,065.73	\$1,518.79	\$0.00	\$453.06	(\$453.06)	Box 6: Gross Proceeds
	65.00000	11/17/2016	11/18/2016	\$1,385.45	\$1,982.23	\$0.00	\$596.78	(\$596.78)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/18/2016	\$1,790.42	\$2,563.09	\$0.00	\$772.67	(\$772.67)	Box 6: Gross Proceeds
	2.00000	11/17/2016	11/18/2016	\$43.05	\$58.83	\$0.00	\$15.78	(\$15.78)	Box 6: Gross Proceeds
	14.00000	11/17/2016	11/18/2016	\$301.27	\$396.70	\$0.00	\$95.43	(\$95.43)	Box 6: Gross Proceeds
	16.00000	11/17/2016	11/18/2016	\$344.31	\$445.97	\$0.00	\$101.66	(\$101.66)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/18/2016	\$1,807.64	\$2,342.27	\$0.00	\$534.63	(\$534.63)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/18/2016	\$1,807.64	\$2,379.98	\$0.00	\$572.34	(\$572.34)	Box 6: Gross Proceeds
	16.00000	11/17/2016	11/18/2016	\$346.87	\$450.27	\$0.00	\$103.40	(\$103.40)	Box 6: Gross Proceeds
	91.00000	11/17/2016	11/18/2016	\$1,972.84	\$2,567.59	\$0.00	\$594.75	(\$594.75)	Box 6: Gross Proceeds
	93.00000	11/17/2016	11/18/2016	\$2,016.20	\$2,609.14	\$0.00	\$592.94	(\$592.94)	Box 6: Gross Proceeds
	10.00000	11/17/2016	11/21/2016	\$98.26	\$185.92	\$0.00	\$87.66	(\$87.66)	Box 6: Gross Proceeds
	10.00000	11/17/2016	11/21/2016	\$101.70	\$185.92	\$0.00	\$84.22	(\$84.22)	Box 6: Gross Proceeds
	10.00000	11/17/2016	11/21/2016	\$92.44	\$302.05	\$0.00	\$209.61	(\$209.61)	Box 6: Gross Proceeds
	90.00000	11/17/2016	11/21/2016	\$831.94	\$2,894.15	\$0.00	\$2,062.21	(\$2,062.21)	Box 6: Gross Proceeds
	16.00000	11/17/2016	11/21/2016	\$192.47	\$292.30	\$0.00	\$99.83	(\$99.83)	Box 6: Gross Proceeds
	16.00000	11/17/2016	11/21/2016	\$192.48	\$287.00	\$0.00	\$94.52	(\$94.52)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/21/2016	\$1,010.50	\$1,499.40	\$0.00	\$488.90	(\$488.90)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/21/2016	\$1,010.50	\$1,535.42	\$0.00	\$524.92	(\$524.92)	Box 6: Gross Proceeds
	12.00000	11/17/2016	11/21/2016	\$146.44	\$345.44	\$0.00	\$199.00	(\$199.00)	Box 6: Gross Proceeds
	88.00000	11/17/2016	11/21/2016	\$1,073.87	\$2,539.91	\$0.00	\$1,466.04	(\$1,466.04)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/21/2016	\$1,220.31	\$3,073.95	\$0.00	\$1,853.64	(\$1,853.64)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/21/2016	\$1,220.31	\$3,104.18	\$0.00	\$1,883.87	(\$1,883.87)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/21/2016	\$12.24	\$28.88	\$0.00	\$16.64	(\$16.64)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/21/2016	\$12.24	\$30.35	\$0.00	\$18.11	(\$18.11)	Box 6: Gross Proceeds
	99.00000	11/17/2016	11/21/2016	\$1,212.06	\$3,004.30	\$0.00	\$1,792.24	(\$1,792.24)	Box 6: Gross Proceeds
	99.00000	11/17/2016	11/21/2016	\$1,212.07	\$2,863.53	\$0.00	\$1,651.46	(\$1,651.46)	Box 6: Gross Proceeds

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: **8290**  
Account Name: **ROBERT B LADD**  
Taxpayer Identification Number: **\*\*\*-\*\*-0092**

Account Executive No: **ET1**

ORIGINAL: **12/31/2016**

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**

**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
***DRYSHIPS INC COM PAR \$0.01 NEW CUSIP: Y2109Q309	100.00000	11/17/2016	11/21/2016	\$1,224.31	\$2,946.81	\$0.00	\$1,722.50	(\$1,722.50)	Box 6: Gross Proceeds
	12.00000	11/17/2016	11/21/2016	\$147.04	\$346.85	\$0.00	\$199.81	(\$199.81)	Box 6: Gross Proceeds
	88.00000	11/17/2016	11/21/2016	\$1,078.26	\$2,550.21	\$0.00	\$1,471.95	(\$1,471.95)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/21/2016	\$1,225.31	\$3,063.88	\$0.00	\$1,838.57	(\$1,838.57)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/21/2016	\$1,225.31	\$3,094.11	\$0.00	\$1,868.80	(\$1,868.80)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/21/2016	\$12.34	\$21.32	\$0.00	\$8.98	(\$8.98)	Box 6: Gross Proceeds
	2.00000	11/17/2016	11/21/2016	\$24.69	\$40.11	\$0.00	\$15.42	(\$15.42)	Box 6: Gross Proceeds
	14.00000	11/17/2016	11/21/2016	\$172.80	\$265.62	\$0.00	\$92.82	(\$92.82)	Box 6: Gross Proceeds
	15.00000	11/17/2016	11/21/2016	\$185.15	\$319.15	\$0.00	\$134.00	(\$134.00)	Box 6: Gross Proceeds
	50.00000	11/17/2016	11/21/2016	\$617.15	\$1,054.35	\$0.00	\$437.20	(\$437.20)	Box 6: Gross Proceeds
	50.00000	11/17/2016	11/21/2016	\$617.15	\$1,060.32	\$0.00	\$443.17	(\$443.17)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/21/2016	\$1,036.82	\$1,593.56	\$0.00	\$556.74	(\$556.74)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/21/2016	\$1,036.82	\$1,788.67	\$0.00	\$751.85	(\$751.85)	Box 6: Gross Proceeds
	9.00000	11/17/2016	11/21/2016	\$111.09	\$163.91	\$0.00	\$52.82	(\$52.82)	Box 6: Gross Proceeds
	16.00000	11/17/2016	11/21/2016	\$197.48	\$296.98	\$0.00	\$99.50	(\$99.50)	Box 6: Gross Proceeds
	16.00000	11/17/2016	11/21/2016	\$197.49	\$291.69	\$0.00	\$94.20	(\$94.20)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/21/2016	\$1,036.82	\$1,524.02	\$0.00	\$487.20	(\$487.20)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/21/2016	\$1,036.82	\$1,560.04	\$0.00	\$523.22	(\$523.22)	Box 6: Gross Proceeds
	91.00000	11/17/2016	11/21/2016	\$1,123.22	\$1,671.95	\$0.00	\$548.73	(\$548.73)	Box 6: Gross Proceeds
	3.00000	11/17/2016	11/21/2016	\$28.72	\$66.12	\$0.00	\$37.40	(\$37.40)	Box 6: Gross Proceeds
	6.00000	11/17/2016	11/21/2016	\$57.44	\$132.34	\$0.00	\$74.90	(\$74.90)	Box 6: Gross Proceeds
	16.00000	11/17/2016	11/21/2016	\$153.18	\$322.54	\$0.00	\$169.36	(\$169.36)	Box 6: Gross Proceeds
	16.00000	11/17/2016	11/21/2016	\$153.18	\$327.85	\$0.00	\$174.67	(\$174.67)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/21/2016	\$804.19	\$1,685.98	\$0.00	\$881.79	(\$881.79)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/21/2016	\$804.19	\$1,722.00	\$0.00	\$917.81	(\$917.81)	Box 6: Gross Proceeds
	90.00000	11/17/2016	11/21/2016	\$861.63	\$3,007.10	\$0.00	\$2,145.47	(\$2,145.47)	Box 6: Gross Proceeds
	91.00000	11/17/2016	11/21/2016	\$871.21	\$2,021.76	\$0.00	\$1,150.55	(\$1,150.55)	Box 6: Gross Proceeds

**THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES**  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: **8290**  
Account Name: **ROBERT B LADD**  
Taxpayer Identification Number: **\*\*\*-\*\*-0092**

Account Executive No: **ET1**

ORIGINAL: **12/31/2016**

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**

**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
**DRYSHIPS INC COM PAR \$0.01 NEW CUSIP: Y2109Q309	1.00000	11/17/2016	11/21/2016	\$12.20	\$28.70	\$0.00	\$16.50	(\$16.50)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/21/2016	\$12.20	\$30.17	\$0.00	\$17.97	(\$17.97)	Box 6: Gross Proceeds
	3.00000	11/17/2016	11/21/2016	\$36.59	\$53.76	\$0.00	\$17.17	(\$17.17)	Box 6: Gross Proceeds
	6.00000	11/17/2016	11/21/2016	\$73.19	\$107.57	\$0.00	\$34.38	(\$34.38)	Box 6: Gross Proceeds
	47.00000	11/17/2016	11/21/2016	\$573.31	\$1,417.68	\$0.00	\$844.37	(\$844.37)	Box 6: Gross Proceeds
	52.00000	11/17/2016	11/21/2016	\$634.30	\$1,565.38	\$0.00	\$931.08	(\$931.08)	Box 6: Gross Proceeds
	91.00000	11/17/2016	11/21/2016	\$1,110.02	\$1,646.18	\$0.00	\$536.16	(\$536.16)	Box 6: Gross Proceeds
	99.00000	11/17/2016	11/21/2016	\$1,207.61	\$2,845.20	\$0.00	\$1,637.59	(\$1,637.59)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/21/2016	\$1,219.80	\$2,928.49	\$0.00	\$1,708.69	(\$1,708.69)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/21/2016	\$9.31	\$30.12	\$0.00	\$20.81	(\$20.81)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/21/2016	\$9.31	\$31.59	\$0.00	\$22.28	(\$22.28)	Box 6: Gross Proceeds
	2.00000	11/17/2016	11/21/2016	\$18.63	\$60.41	\$0.00	\$41.78	(\$41.78)	Box 6: Gross Proceeds
	3.00000	11/17/2016	11/21/2016	\$27.94	\$61.98	\$0.00	\$34.04	(\$34.04)	Box 6: Gross Proceeds
	6.00000	11/17/2016	11/21/2016	\$55.88	\$124.07	\$0.00	\$68.19	(\$68.19)	Box 6: Gross Proceeds
	10.00000	11/17/2016	11/21/2016	\$93.14	\$211.52	\$0.00	\$118.38	(\$118.38)	Box 6: Gross Proceeds
	10.00000	11/17/2016	11/21/2016	\$93.14	\$307.08	\$0.00	\$213.94	(\$213.94)	Box 6: Gross Proceeds
	16.00000	11/17/2016	11/21/2016	\$149.02	\$300.48	\$0.00	\$151.46	(\$151.46)	Box 6: Gross Proceeds
	16.00000	11/17/2016	11/21/2016	\$149.02	\$305.79	\$0.00	\$156.77	(\$156.77)	Box 6: Gross Proceeds
	47.00000	11/17/2016	11/21/2016	\$437.75	\$1,484.56	\$0.00	\$1,046.81	(\$1,046.81)	Box 6: Gross Proceeds
	52.00000	11/17/2016	11/21/2016	\$484.32	\$1,639.38	\$0.00	\$1,155.06	(\$1,155.06)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/21/2016	\$782.36	\$1,570.17	\$0.00	\$787.81	(\$787.81)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/21/2016	\$782.36	\$1,606.19	\$0.00	\$823.83	(\$823.83)	Box 6: Gross Proceeds
	88.00000	11/17/2016	11/21/2016	\$819.61	\$2,664.66	\$0.00	\$1,845.05	(\$1,845.05)	Box 6: Gross Proceeds
	90.00000	11/17/2016	11/21/2016	\$838.24	\$2,883.02	\$0.00	\$2,044.78	(\$2,044.78)	Box 6: Gross Proceeds
	91.00000	11/17/2016	11/21/2016	\$847.56	\$1,896.30	\$0.00	\$1,048.74	(\$1,048.74)	Box 6: Gross Proceeds
	99.00000	11/17/2016	11/21/2016	\$922.07	\$2,986.04	\$0.00	\$2,063.97	(\$2,063.97)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/21/2016	\$12.53	\$21.50	\$0.00	\$8.97	(\$8.97)	Box 6: Gross Proceeds



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: **8290**  
Account Name: **ROBERT B LADD**  
Taxpayer Identification Number: **\*\*\*-\*\*-0092**

Account Executive No: **ET1**

ORIGINAL: **12/31/2016**

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**

**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
***DRYSHIPS INC	2.00000	11/17/2016	11/21/2016	\$25.06	\$40.46	\$0.00	\$15.40	(\$15.40)	Box 6: Gross Proceeds
COM PAR \$0.01 NEW	9.00000	11/17/2016	11/21/2016	\$112.75	\$165.48	\$0.00	\$52.73	(\$52.73)	Box 6: Gross Proceeds
CUSIP: Y2109Q309	14.00000	11/17/2016	11/21/2016	\$175.40	\$268.07	\$0.00	\$92.67	(\$92.67)	Box 6: Gross Proceeds
	15.00000	11/17/2016	11/21/2016	\$187.92	\$321.76	\$0.00	\$133.84	(\$133.84)	Box 6: Gross Proceeds
	16.00000	11/17/2016	11/21/2016	\$200.45	\$294.48	\$0.00	\$94.03	(\$94.03)	Box 6: Gross Proceeds
	16.00000	11/17/2016	11/21/2016	\$200.45	\$299.77	\$0.00	\$99.32	(\$99.32)	Box 6: Gross Proceeds
	50.00000	11/17/2016	11/21/2016	\$626.40	\$1,063.06	\$0.00	\$436.66	(\$436.66)	Box 6: Gross Proceeds
	50.00000	11/17/2016	11/21/2016	\$626.42	\$1,069.05	\$0.00	\$442.63	(\$442.63)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/21/2016	\$1,052.38	\$1,538.68	\$0.00	\$486.30	(\$486.30)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/21/2016	\$1,052.38	\$1,574.70	\$0.00	\$522.32	(\$522.32)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/21/2016	\$1,052.38	\$1,608.22	\$0.00	\$555.84	(\$555.84)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/21/2016	\$1,052.38	\$1,803.33	\$0.00	\$750.95	(\$750.95)	Box 6: Gross Proceeds
	91.00000	11/17/2016	11/21/2016	\$1,140.08	\$1,687.83	\$0.00	\$547.75	(\$547.75)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/21/2016	\$1,252.83	\$2,964.26	\$0.00	\$1,711.43	(\$1,711.43)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/21/2016	\$10.62	\$20.94	\$0.00	\$10.32	(\$10.32)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/21/2016	\$10.62	\$27.83	\$0.00	\$17.21	(\$17.21)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/21/2016	\$10.62	\$29.30	\$0.00	\$18.68	(\$18.68)	Box 6: Gross Proceeds
	2.00000	11/17/2016	11/21/2016	\$21.23	\$39.35	\$0.00	\$18.12	(\$18.12)	Box 6: Gross Proceeds
	10.00000	11/17/2016	11/21/2016	\$106.14	\$284.14	\$0.00	\$178.00	(\$178.00)	Box 6: Gross Proceeds
	12.00000	11/17/2016	11/21/2016	\$127.39	\$334.94	\$0.00	\$207.55	(\$207.55)	Box 6: Gross Proceeds
	14.00000	11/17/2016	11/21/2016	\$148.62	\$260.32	\$0.00	\$111.70	(\$111.70)	Box 6: Gross Proceeds
	15.00000	11/17/2016	11/21/2016	\$159.23	\$313.48	\$0.00	\$154.25	(\$154.25)	Box 6: Gross Proceeds
	47.00000	11/17/2016	11/21/2016	\$498.94	\$1,376.79	\$0.00	\$877.85	(\$877.85)	Box 6: Gross Proceeds
	50.00000	11/17/2016	11/21/2016	\$530.78	\$1,003.60	\$0.00	\$472.82	(\$472.82)	Box 6: Gross Proceeds
	50.00000	11/17/2016	11/21/2016	\$530.78	\$1,009.57	\$0.00	\$478.79	(\$478.79)	Box 6: Gross Proceeds
	52.00000	11/17/2016	11/21/2016	\$552.01	\$1,520.14	\$0.00	\$968.13	(\$968.13)	Box 6: Gross Proceeds
	64.00000	11/17/2016	11/21/2016	\$679.40	\$1,189.90	\$0.00	\$510.50	(\$510.50)	Box 6: Gross Proceeds



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: **8290**  
Account Name: **ROBERT B LADD**  
Taxpayer Identification Number: **\*\*\*-\*\*-0092**

Account Executive No: **ET1**

ORIGINAL: **12/31/2016**

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**

**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
***DRYSHIPS INC COM PAR \$0.01 NEW CUSIP: Y2109Q309	84.00000	11/17/2016	11/21/2016	\$891.72	\$1,756.86	\$0.00	\$865.14	(\$865.14)	Box 6: Gross Proceeds
	88.00000	11/17/2016	11/21/2016	\$934.18	\$2,462.90	\$0.00	\$1,528.72	(\$1,528.72)	Box 6: Gross Proceeds
	99.00000	11/17/2016	11/21/2016	\$1,050.95	\$2,759.06	\$0.00	\$1,708.11	(\$1,708.11)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/21/2016	\$1,061.57	\$2,986.44	\$0.00	\$1,924.87	(\$1,924.87)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/21/2016	\$1,061.57	\$3,016.67	\$0.00	\$1,955.10	(\$1,955.10)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/21/2016	\$9.25	\$28.04	\$0.00	\$18.79	(\$18.79)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/21/2016	\$9.25	\$29.51	\$0.00	\$20.26	(\$20.26)	Box 6: Gross Proceeds
	3.00000	11/17/2016	11/21/2016	\$27.77	\$55.78	\$0.00	\$28.01	(\$28.01)	Box 6: Gross Proceeds
	6.00000	11/17/2016	11/21/2016	\$55.52	\$111.62	\$0.00	\$56.10	(\$56.10)	Box 6: Gross Proceeds
	10.00000	11/17/2016	11/21/2016	\$92.53	\$321.22	\$0.00	\$228.69	(\$228.69)	Box 6: Gross Proceeds
	10.00000	11/17/2016	11/21/2016	\$92.54	\$286.34	\$0.00	\$193.80	(\$193.80)	Box 6: Gross Proceeds
	12.00000	11/17/2016	11/21/2016	\$111.04	\$337.56	\$0.00	\$226.52	(\$226.52)	Box 6: Gross Proceeds
	47.00000	11/17/2016	11/21/2016	\$434.92	\$1,387.06	\$0.00	\$952.14	(\$952.14)	Box 6: Gross Proceeds
	50.00000	11/17/2016	11/21/2016	\$462.69	\$1,116.43	\$0.00	\$653.74	(\$653.74)	Box 6: Gross Proceeds
	50.00000	11/17/2016	11/21/2016	\$462.69	\$1,122.40	\$0.00	\$659.71	(\$659.71)	Box 6: Gross Proceeds
	52.00000	11/17/2016	11/21/2016	\$481.19	\$1,531.51	\$0.00	\$1,050.32	(\$1,050.32)	Box 6: Gross Proceeds
	88.00000	11/17/2016	11/21/2016	\$814.33	\$2,482.13	\$0.00	\$1,667.80	(\$1,667.80)	Box 6: Gross Proceeds
	90.00000	11/17/2016	11/21/2016	\$832.83	\$2,696.33	\$0.00	\$1,863.50	(\$1,863.50)	Box 6: Gross Proceeds
	90.00000	11/17/2016	11/21/2016	\$832.83	\$2,707.46	\$0.00	\$1,874.63	(\$1,874.63)	Box 6: Gross Proceeds
	91.00000	11/17/2016	11/21/2016	\$842.09	\$1,707.54	\$0.00	\$865.45	(\$865.45)	Box 6: Gross Proceeds
	99.00000	11/17/2016	11/21/2016	\$916.12	\$2,780.69	\$0.00	\$1,864.57	(\$1,864.57)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/21/2016	\$925.37	\$3,242.33	\$0.00	\$2,316.96	(\$2,316.96)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/21/2016	\$9.29	\$21.65	\$0.00	\$12.36	(\$12.36)	Box 6: Gross Proceeds
	2.00000	11/17/2016	11/21/2016	\$18.58	\$40.78	\$0.00	\$22.20	(\$22.20)	Box 6: Gross Proceeds
	3.00000	11/17/2016	11/21/2016	\$27.87	\$51.15	\$0.00	\$23.28	(\$23.28)	Box 6: Gross Proceeds
	6.00000	11/17/2016	11/21/2016	\$55.74	\$102.35	\$0.00	\$46.61	(\$46.61)	Box 6: Gross Proceeds
	10.00000	11/17/2016	11/21/2016	\$92.89	\$300.83	\$0.00	\$207.94	(\$207.94)	Box 6: Gross Proceeds

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092  
Account Executive No: ET1  
ORIGINAL: 12/31/2016

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED****OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
Box 5: Box Not Checked (Covered Security)

Box 3: Basis Reported to the IRS

Box 2: Type of Gain or Loss -Short-Term

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
**DRYSHIPS INC COM PAR \$0.01 NEW CUSIP: Y2109Q309	10.00000	11/17/2016	11/21/2016	\$92.90	\$197.50	\$0.00	\$104.60	(\$104.60)	Box 6: Gross Proceeds
	10.00000	11/17/2016	11/21/2016	\$92.90	\$200.94	\$0.00	\$108.04	(\$108.04)	Box 6: Gross Proceeds
	14.00000	11/17/2016	11/21/2016	\$130.06	\$270.29	\$0.00	\$140.23	(\$140.23)	Box 6: Gross Proceeds
	15.00000	11/17/2016	11/21/2016	\$139.35	\$324.17	\$0.00	\$184.82	(\$184.82)	Box 6: Gross Proceeds
	16.00000	11/17/2016	11/21/2016	\$148.64	\$275.77	\$0.00	\$127.13	(\$127.13)	Box 6: Gross Proceeds
	16.00000	11/17/2016	11/21/2016	\$148.64	\$281.08	\$0.00	\$132.44	(\$132.44)	Box 6: Gross Proceeds
	50.00000	11/17/2016	11/21/2016	\$464.50	\$1,014.53	\$0.00	\$550.03	(\$550.03)	Box 6: Gross Proceeds
	50.00000	11/17/2016	11/21/2016	\$464.50	\$1,020.50	\$0.00	\$556.00	(\$556.00)	Box 6: Gross Proceeds
	64.00000	11/17/2016	11/21/2016	\$594.55	\$1,235.49	\$0.00	\$640.94	(\$640.94)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/21/2016	\$780.35	\$1,440.45	\$0.00	\$660.10	(\$660.10)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/21/2016	\$780.35	\$1,476.47	\$0.00	\$696.12	(\$696.12)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/21/2016	\$780.35	\$1,816.69	\$0.00	\$1,036.34	(\$1,036.34)	Box 6: Gross Proceeds
	90.00000	11/17/2016	11/21/2016	\$836.09	\$2,557.34	\$0.00	\$1,721.25	(\$1,721.25)	Box 6: Gross Proceeds
	91.00000	11/17/2016	11/21/2016	\$845.38	\$1,567.01	\$0.00	\$721.63	(\$721.63)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/21/2016	\$928.99	\$3,038.52	\$0.00	\$2,109.53	(\$2,109.53)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/21/2016	\$9.49	\$23.05	\$0.00	\$13.56	(\$13.56)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/21/2016	\$9.49	\$31.50	\$0.00	\$22.01	(\$22.01)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/21/2016	\$9.49	\$32.97	\$0.00	\$23.48	(\$23.48)	Box 6: Gross Proceeds
	2.00000	11/17/2016	11/21/2016	\$18.99	\$43.59	\$0.00	\$24.60	(\$24.60)	Box 6: Gross Proceeds
	2.00000	11/17/2016	11/21/2016	\$18.99	\$63.17	\$0.00	\$44.18	(\$44.18)	Box 6: Gross Proceeds
	10.00000	11/17/2016	11/21/2016	\$94.94	\$214.97	\$0.00	\$120.03	(\$120.03)	Box 6: Gross Proceeds
	10.00000	11/17/2016	11/21/2016	\$94.94	\$316.54	\$0.00	\$221.60	(\$221.60)	Box 6: Gross Proceeds
	10.00000	11/17/2016	11/21/2016	\$94.94	\$335.62	\$0.00	\$240.68	(\$240.68)	Box 6: Gross Proceeds
	10.00000	11/17/2016	11/21/2016	\$94.95	\$320.82	\$0.00	\$225.87	(\$225.87)	Box 6: Gross Proceeds
	14.00000	11/17/2016	11/21/2016	\$132.92	\$289.93	\$0.00	\$157.01	(\$157.01)	Box 6: Gross Proceeds
	15.00000	11/17/2016	11/21/2016	\$142.41	\$345.21	\$0.00	\$202.80	(\$202.80)	Box 6: Gross Proceeds
	47.00000	11/17/2016	11/21/2016	\$446.22	\$1,549.36	\$0.00	\$1,103.14	(\$1,103.14)	Box 6: Gross Proceeds

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: **8290**  
Account Name: **ROBERT B LADD**  
Taxpayer Identification Number: **\*\*\*-\*\*-0092**

Account Executive No: **ET1**

ORIGINAL: **12/31/2016**

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**

**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
***DRYSHIPS INC	50.00000	11/17/2016	11/21/2016	\$474.71	\$1,188.37	\$0.00	\$713.66	(\$713.66)	Box 6: Gross Proceeds
COM PAR \$0.01 NEW	50.00000	11/17/2016	11/21/2016	\$474.71	\$1,194.34	\$0.00	\$719.63	(\$719.63)	Box 6: Gross Proceeds
CUSIP: Y2109Q309	52.00000	11/17/2016	11/21/2016	\$493.69	\$1,711.07	\$0.00	\$1,217.38	(\$1,217.38)	Box 6: Gross Proceeds
	64.00000	11/17/2016	11/21/2016	\$607.62	\$1,325.26	\$0.00	\$717.64	(\$717.64)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/21/2016	\$797.50	\$1,934.51	\$0.00	\$1,137.01	(\$1,137.01)	Box 6: Gross Proceeds
	88.00000	11/17/2016	11/21/2016	\$835.48	\$2,785.99	\$0.00	\$1,950.51	(\$1,950.51)	Box 6: Gross Proceeds
	90.00000	11/17/2016	11/21/2016	\$854.47	\$3,024.54	\$0.00	\$2,170.07	(\$2,170.07)	Box 6: Gross Proceeds
	99.00000	11/17/2016	11/21/2016	\$939.92	\$3,122.53	\$0.00	\$2,182.61	(\$2,182.61)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/21/2016	\$949.41	\$3,386.21	\$0.00	\$2,436.80	(\$2,436.80)	Box 6: Gross Proceeds
	16.00000	11/17/2016	11/21/2016	\$144.35	\$325.31	\$0.00	\$180.96	(\$180.96)	Box 6: Gross Proceeds
	16.00000	11/17/2016	11/21/2016	\$144.35	\$330.62	\$0.00	\$186.27	(\$186.27)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/21/2016	\$757.83	\$1,700.51	\$0.00	\$942.68	(\$942.68)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/21/2016	\$757.83	\$1,736.53	\$0.00	\$978.70	(\$978.70)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/21/2016	\$9.58	\$23.30	\$0.00	\$13.72	(\$13.72)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/21/2016	\$9.58	\$31.75	\$0.00	\$22.17	(\$22.17)	Box 6: Gross Proceeds
	1.00000	11/17/2016	11/21/2016	\$9.58	\$33.23	\$0.00	\$23.65	(\$23.65)	Box 6: Gross Proceeds
	2.00000	11/17/2016	11/21/2016	\$19.15	\$44.07	\$0.00	\$24.92	(\$24.92)	Box 6: Gross Proceeds
	2.00000	11/17/2016	11/21/2016	\$19.15	\$63.65	\$0.00	\$44.50	(\$44.50)	Box 6: Gross Proceeds
	3.00000	11/17/2016	11/21/2016	\$28.73	\$66.63	\$0.00	\$37.90	(\$37.90)	Box 6: Gross Proceeds
	6.00000	11/17/2016	11/21/2016	\$57.46	\$133.38	\$0.00	\$75.92	(\$75.92)	Box 6: Gross Proceeds
	10.00000	11/17/2016	11/21/2016	\$95.76	\$215.74	\$0.00	\$119.98	(\$119.98)	Box 6: Gross Proceeds
	10.00000	11/17/2016	11/21/2016	\$95.76	\$217.39	\$0.00	\$121.63	(\$121.63)	Box 6: Gross Proceeds
	10.00000	11/17/2016	11/21/2016	\$95.76	\$318.96	\$0.00	\$223.20	(\$223.20)	Box 6: Gross Proceeds
	10.00000	11/17/2016	11/21/2016	\$95.76	\$323.34	\$0.00	\$227.58	(\$227.58)	Box 6: Gross Proceeds
	10.00000	11/17/2016	11/21/2016	\$95.76	\$338.04	\$0.00	\$242.28	(\$242.28)	Box 6: Gross Proceeds
	14.00000	11/17/2016	11/21/2016	\$134.07	\$293.32	\$0.00	\$159.25	(\$159.25)	Box 6: Gross Proceeds
	15.00000	11/17/2016	11/21/2016	\$143.64	\$348.85	\$0.00	\$205.21	(\$205.21)	Box 6: Gross Proceeds



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: **8290**  
Account Name: **ROBERT B LADD**  
Taxpayer Identification Number: **\*\*\*-\*\*-0092**

Account Executive No: **ET1**

ORIGINAL: **12/31/2016**

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**

**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
***DRYSHIPS INC COM PAR \$0.01 NEW CUSIP: Y2109Q309	47.00000	11/17/2016	11/21/2016	\$450.08	\$1,560.75	\$0.00	\$1,110.67	(\$1,110.67)	Box 6: Gross Proceeds
	50.00000	11/17/2016	11/21/2016	\$478.81	\$1,200.48	\$0.00	\$721.67	(\$721.67)	Box 6: Gross Proceeds
	50.00000	11/17/2016	11/21/2016	\$478.81	\$1,206.45	\$0.00	\$727.64	(\$727.64)	Box 6: Gross Proceeds
	52.00000	11/17/2016	11/21/2016	\$497.96	\$1,723.67	\$0.00	\$1,225.71	(\$1,225.71)	Box 6: Gross Proceeds
	64.00000	11/17/2016	11/21/2016	\$612.88	\$1,340.77	\$0.00	\$727.89	(\$727.89)	Box 6: Gross Proceeds
	84.00000	11/17/2016	11/21/2016	\$804.40	\$1,954.87	\$0.00	\$1,150.47	(\$1,150.47)	Box 6: Gross Proceeds
	88.00000	11/17/2016	11/21/2016	\$842.71	\$2,807.31	\$0.00	\$1,964.60	(\$1,964.60)	Box 6: Gross Proceeds
	90.00000	11/17/2016	11/21/2016	\$861.86	\$3,022.67	\$0.00	\$2,160.81	(\$2,160.81)	Box 6: Gross Proceeds
	90.00000	11/17/2016	11/21/2016	\$861.86	\$3,046.35	\$0.00	\$2,184.49	(\$2,184.49)	Box 6: Gross Proceeds
	91.00000	11/17/2016	11/21/2016	\$871.43	\$2,037.50	\$0.00	\$1,166.07	(\$1,166.07)	Box 6: Gross Proceeds
	99.00000	11/17/2016	11/21/2016	\$948.04	\$3,146.51	\$0.00	\$2,198.47	(\$2,198.47)	Box 6: Gross Proceeds
	100.00000	11/17/2016	11/21/2016	\$957.62	\$3,410.44	\$0.00	\$2,452.82	(\$2,452.82)	Box 6: Gross Proceeds
	100.00000	11/21/2016	11/21/2016	\$951.99	\$1,069.25	\$0.00	\$117.26	(\$117.26)	Box 6: Gross Proceeds
	200.00000	11/21/2016	11/21/2016	\$1,923.16	\$2,138.50	\$0.00	\$215.34	(\$215.34)	Box 6: Gross Proceeds
	200.00000	11/21/2016	11/21/2016	\$1,923.16	\$2,138.50	\$0.00	\$215.34	(\$215.34)	Box 6: Gross Proceeds
	200.00000	11/21/2016	11/21/2016	\$1,934.88	\$2,138.50	\$0.00	\$203.62	(\$203.62)	Box 6: Gross Proceeds
	200.00000	11/21/2016	11/21/2016	\$1,936.36	\$2,138.50	\$0.00	\$202.14	(\$202.14)	Box 6: Gross Proceeds
	200.00000	11/21/2016	11/21/2016	\$1,953.16	\$2,138.50	\$0.00	\$185.34	(\$185.34)	Box 6: Gross Proceeds
	400.00000	11/21/2016	11/21/2016	\$3,839.91	\$4,277.00	\$0.00	\$437.09	(\$437.09)	Box 6: Gross Proceeds
	500.00000	11/21/2016	11/21/2016	\$4,803.30	\$5,346.25	\$0.00	\$542.95	(\$542.95)	Box 6: Gross Proceeds
	300.00000	11/21/2016	11/21/2016	\$2,706.54	\$3,251.81	\$0.00	\$545.27	(\$545.27)	Box 6: Gross Proceeds
	500.00000	11/21/2016	11/21/2016	\$4,510.91	\$5,416.28	\$0.00	\$905.37	(\$905.37)	Box 6: Gross Proceeds
	100.00000	11/21/2016	11/21/2016	\$906.19	\$1,032.95	\$0.00	\$126.76	(\$126.76)	Box 6: Gross Proceeds
	100.00000	11/21/2016	11/21/2016	\$906.19	\$1,040.94	\$0.00	\$134.75	(\$134.75)	Box 6: Gross Proceeds
	200.00000	11/21/2016	11/21/2016	\$1,812.38	\$2,049.50	\$0.00	\$237.12	(\$237.12)	Box 6: Gross Proceeds
	200.00000	11/21/2016	11/21/2016	\$1,812.38	\$2,062.70	\$0.00	\$250.32	(\$250.32)	Box 6: Gross Proceeds
	200.00000	11/21/2016	11/21/2016	\$1,812.38	\$2,062.70	\$0.00	\$250.32	(\$250.32)	Box 6: Gross Proceeds



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092  
Account Executive No: ET1  
ORIGINAL: 12/31/2016

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED****OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
Box 5: Box Not Checked (Covered Security)

Box 3: Basis Reported to the IRS

Box 2: Type of Gain or Loss -Short-Term

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
**DRYSHIPS INC COM PAR \$0.01 NEW CUSIP: Y2109Q309	200.00000	11/21/2016	11/21/2016	\$1,812.39	\$2,032.69	\$0.00	\$220.30	(\$220.30)	Box 6: Gross Proceeds
	1.00000	11/17/2016	12/05/2016	\$4.75	\$18.56	\$0.00	\$13.81	(\$13.81)	Box 6: Gross Proceeds
	2.00000	11/17/2016	12/05/2016	\$9.50	\$34.60	\$0.00	\$25.10	(\$25.10)	Box 6: Gross Proceeds
	2.00000	11/17/2016	12/05/2016	\$9.50	\$54.18	\$0.00	\$44.68	(\$44.68)	Box 6: Gross Proceeds
	10.00000	11/17/2016	12/05/2016	\$47.48	\$168.37	\$0.00	\$120.89	(\$120.89)	Box 6: Gross Proceeds
	10.00000	11/17/2016	12/05/2016	\$47.48	\$170.02	\$0.00	\$122.54	(\$122.54)	Box 6: Gross Proceeds
	10.00000	11/17/2016	12/05/2016	\$47.48	\$271.59	\$0.00	\$224.11	(\$224.11)	Box 6: Gross Proceeds
	10.00000	11/17/2016	12/05/2016	\$47.48	\$290.67	\$0.00	\$243.19	(\$243.19)	Box 6: Gross Proceeds
	14.00000	11/17/2016	12/05/2016	\$66.47	\$227.00	\$0.00	\$160.53	(\$160.53)	Box 6: Gross Proceeds
	15.00000	11/17/2016	12/05/2016	\$71.21	\$277.80	\$0.00	\$206.59	(\$206.59)	Box 6: Gross Proceeds
	50.00000	11/17/2016	12/05/2016	\$237.38	\$963.64	\$0.00	\$726.26	(\$726.26)	Box 6: Gross Proceeds
	50.00000	11/17/2016	12/05/2016	\$237.38	\$969.61	\$0.00	\$732.23	(\$732.23)	Box 6: Gross Proceeds
	64.00000	11/17/2016	12/05/2016	\$303.84	\$1,037.61	\$0.00	\$733.77	(\$733.77)	Box 6: Gross Proceeds
	84.00000	11/17/2016	12/05/2016	\$398.80	\$1,556.98	\$0.00	\$1,158.18	(\$1,158.18)	Box 6: Gross Proceeds
	88.00000	11/17/2016	12/05/2016	\$417.75	\$2,390.48	\$0.00	\$1,972.73	(\$1,972.73)	Box 6: Gross Proceeds
	90.00000	11/17/2016	12/05/2016	\$427.28	\$2,620.04	\$0.00	\$2,192.76	(\$2,192.76)	Box 6: Gross Proceeds
	100.00000	11/17/2016	12/05/2016	\$474.76	\$2,936.76	\$0.00	\$2,462.00	(\$2,462.00)	Box 6: Gross Proceeds
	16.00000	11/17/2016	12/05/2016	\$74.88	\$258.39	\$0.00	\$183.51	(\$183.51)	Box 6: Gross Proceeds
	16.00000	11/17/2016	12/05/2016	\$74.88	\$263.70	\$0.00	\$188.82	(\$188.82)	Box 6: Gross Proceeds
	84.00000	11/17/2016	12/05/2016	\$393.11	\$1,349.20	\$0.00	\$956.09	(\$956.09)	Box 6: Gross Proceeds
	84.00000	11/17/2016	12/05/2016	\$393.11	\$1,385.22	\$0.00	\$992.11	(\$992.11)	Box 6: Gross Proceeds
	1.00000	11/17/2016	12/05/2016	\$4.74	\$18.55	\$0.00	\$13.81	(\$13.81)	Box 6: Gross Proceeds
	1.00000	11/17/2016	12/05/2016	\$4.74	\$27.00	\$0.00	\$22.26	(\$22.26)	Box 6: Gross Proceeds
	1.00000	11/17/2016	12/05/2016	\$4.74	\$28.49	\$0.00	\$23.75	(\$23.75)	Box 6: Gross Proceeds
	2.00000	11/17/2016	12/05/2016	\$9.47	\$34.58	\$0.00	\$25.11	(\$25.11)	Box 6: Gross Proceeds
	2.00000	11/17/2016	12/05/2016	\$9.47	\$54.16	\$0.00	\$44.69	(\$44.69)	Box 6: Gross Proceeds
	3.00000	11/17/2016	12/05/2016	\$14.19	\$52.42	\$0.00	\$38.23	(\$38.23)	Box 6: Gross Proceeds

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: **8290**  
Account Name: **ROBERT B LADD**  
Taxpayer Identification Number: **\*\*\*-\*\*-0092**

Account Executive No: **ET1**

ORIGINAL: **12/31/2016**

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**

**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
***DRYSHIPS INC	6.00000	11/17/2016	12/05/2016	\$28.42	\$104.96	\$0.00	\$76.54	(\$76.54)	Box 6: Gross Proceeds
COM PAR \$0.01 NEW	10.00000	11/17/2016	12/05/2016	\$47.36	\$168.31	\$0.00	\$120.95	(\$120.95)	Box 6: Gross Proceeds
CUSIP: Y2109Q309	10.00000	11/17/2016	12/05/2016	\$47.36	\$169.96	\$0.00	\$122.60	(\$122.60)	Box 6: Gross Proceeds
	10.00000	11/17/2016	12/05/2016	\$47.36	\$271.53	\$0.00	\$224.17	(\$224.17)	Box 6: Gross Proceeds
	10.00000	11/17/2016	12/05/2016	\$47.36	\$275.97	\$0.00	\$228.61	(\$228.61)	Box 6: Gross Proceeds
	10.00000	11/17/2016	12/05/2016	\$47.36	\$290.61	\$0.00	\$243.25	(\$243.25)	Box 6: Gross Proceeds
	12.00000	11/17/2016	12/05/2016	\$56.83	\$340.93	\$0.00	\$284.10	(\$284.10)	Box 6: Gross Proceeds
	14.00000	11/17/2016	12/05/2016	\$66.30	\$226.92	\$0.00	\$160.62	(\$160.62)	Box 6: Gross Proceeds
	15.00000	11/17/2016	12/05/2016	\$71.04	\$277.72	\$0.00	\$206.68	(\$206.68)	Box 6: Gross Proceeds
	40.00000	11/17/2016	12/05/2016	\$189.43	\$1,136.04	\$0.00	\$946.61	(\$946.61)	Box 6: Gross Proceeds
	41.00000	11/17/2016	12/05/2016	\$194.17	\$1,108.50	\$0.00	\$914.33	(\$914.33)	Box 6: Gross Proceeds
	47.00000	11/17/2016	12/05/2016	\$222.59	\$1,338.13	\$0.00	\$1,115.54	(\$1,115.54)	Box 6: Gross Proceeds
	50.00000	11/17/2016	12/05/2016	\$236.79	\$963.37	\$0.00	\$726.58	(\$726.58)	Box 6: Gross Proceeds
	50.00000	11/17/2016	12/05/2016	\$236.79	\$969.34	\$0.00	\$732.55	(\$732.55)	Box 6: Gross Proceeds
	58.00000	11/17/2016	12/05/2016	\$274.68	\$1,567.69	\$0.00	\$1,293.01	(\$1,293.01)	Box 6: Gross Proceeds
	64.00000	11/17/2016	12/05/2016	\$303.10	\$1,037.27	\$0.00	\$734.17	(\$734.17)	Box 6: Gross Proceeds
	84.00000	11/17/2016	12/05/2016	\$397.82	\$1,556.53	\$0.00	\$1,158.71	(\$1,158.71)	Box 6: Gross Proceeds
	88.00000	11/17/2016	12/05/2016	\$416.76	\$2,390.05	\$0.00	\$1,973.29	(\$1,973.29)	Box 6: Gross Proceeds
	90.00000	11/17/2016	12/05/2016	\$426.23	\$2,596.37	\$0.00	\$2,170.14	(\$2,170.14)	Box 6: Gross Proceeds
	90.00000	11/17/2016	12/05/2016	\$426.23	\$2,619.56	\$0.00	\$2,193.33	(\$2,193.33)	Box 6: Gross Proceeds
	91.00000	11/17/2016	12/05/2016	\$430.97	\$1,606.47	\$0.00	\$1,175.50	(\$1,175.50)	Box 6: Gross Proceeds
	100.00000	11/17/2016	12/05/2016	\$473.59	\$2,936.22	\$0.00	\$2,462.63	(\$2,462.63)	Box 6: Gross Proceeds
	1.00000	11/17/2016	12/05/2016	\$4.75	\$18.65	\$0.00	\$13.90	(\$13.90)	Box 6: Gross Proceeds
	1.00000	11/17/2016	12/05/2016	\$4.75	\$27.10	\$0.00	\$22.35	(\$22.35)	Box 6: Gross Proceeds
	1.00000	11/17/2016	12/05/2016	\$4.75	\$28.59	\$0.00	\$23.84	(\$23.84)	Box 6: Gross Proceeds
	2.00000	11/17/2016	12/05/2016	\$9.50	\$34.79	\$0.00	\$25.29	(\$25.29)	Box 6: Gross Proceeds
	2.00000	11/17/2016	12/05/2016	\$9.50	\$54.37	\$0.00	\$44.87	(\$44.87)	Box 6: Gross Proceeds



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092  
Account Executive No: ET1  
ORIGINAL: 12/31/2016

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED****OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
Box 5: Box Not Checked (Covered Security)

Box 3: Basis Reported to the IRS

Box 2: Type of Gain or Loss -Short-Term

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
**DRYSHIPS INC COM PAR \$0.01 NEW CUSIP: Y2109Q309	3.00000	11/17/2016	12/05/2016	\$14.25	\$52.74	\$0.00	\$38.49	(\$38.49)	Box 6: Gross Proceeds
	6.00000	11/17/2016	12/05/2016	\$28.51	\$105.58	\$0.00	\$77.07	(\$77.07)	Box 6: Gross Proceeds
	10.00000	11/17/2016	12/05/2016	\$47.52	\$169.34	\$0.00	\$121.82	(\$121.82)	Box 6: Gross Proceeds
	10.00000	11/17/2016	12/05/2016	\$47.52	\$170.99	\$0.00	\$123.47	(\$123.47)	Box 6: Gross Proceeds
	10.00000	11/17/2016	12/05/2016	\$47.52	\$272.56	\$0.00	\$225.04	(\$225.04)	Box 6: Gross Proceeds
	10.00000	11/17/2016	12/05/2016	\$47.52	\$277.00	\$0.00	\$229.48	(\$229.48)	Box 6: Gross Proceeds
	10.00000	11/17/2016	12/05/2016	\$47.52	\$291.64	\$0.00	\$244.12	(\$244.12)	Box 6: Gross Proceeds
	12.00000	11/17/2016	12/05/2016	\$57.02	\$342.17	\$0.00	\$285.15	(\$285.15)	Box 6: Gross Proceeds
	14.00000	11/17/2016	12/05/2016	\$66.53	\$228.37	\$0.00	\$161.84	(\$161.84)	Box 6: Gross Proceeds
	15.00000	11/17/2016	12/05/2016	\$71.28	\$279.27	\$0.00	\$207.99	(\$207.99)	Box 6: Gross Proceeds
	40.00000	11/17/2016	12/05/2016	\$190.08	\$1,140.19	\$0.00	\$950.11	(\$950.11)	Box 6: Gross Proceeds
	41.00000	11/17/2016	12/05/2016	\$194.83	\$1,112.75	\$0.00	\$917.92	(\$917.92)	Box 6: Gross Proceeds
	47.00000	11/17/2016	12/05/2016	\$223.34	\$1,342.99	\$0.00	\$1,119.65	(\$1,119.65)	Box 6: Gross Proceeds
	50.00000	11/17/2016	12/05/2016	\$237.60	\$968.55	\$0.00	\$730.95	(\$730.95)	Box 6: Gross Proceeds
	50.00000	11/17/2016	12/05/2016	\$237.60	\$974.52	\$0.00	\$736.92	(\$736.92)	Box 6: Gross Proceeds
	58.00000	11/17/2016	12/05/2016	\$275.61	\$1,573.70	\$0.00	\$1,298.09	(\$1,298.09)	Box 6: Gross Proceeds
	64.00000	11/17/2016	12/05/2016	\$304.12	\$1,043.89	\$0.00	\$739.77	(\$739.77)	Box 6: Gross Proceeds
	84.00000	11/17/2016	12/05/2016	\$399.16	\$1,565.22	\$0.00	\$1,166.06	(\$1,166.06)	Box 6: Gross Proceeds
	88.00000	11/17/2016	12/05/2016	\$418.17	\$2,399.16	\$0.00	\$1,980.99	(\$1,980.99)	Box 6: Gross Proceeds
	90.00000	11/17/2016	12/05/2016	\$427.67	\$2,605.89	\$0.00	\$2,178.02	(\$2,178.02)	Box 6: Gross Proceeds
	90.00000	11/17/2016	12/05/2016	\$427.67	\$2,628.88	\$0.00	\$2,201.21	(\$2,201.21)	Box 6: Gross Proceeds
	91.00000	11/17/2016	12/05/2016	\$432.42	\$1,615.89	\$0.00	\$1,183.47	(\$1,183.47)	Box 6: Gross Proceeds
	100.00000	11/17/2016	12/05/2016	\$475.19	\$2,946.57	\$0.00	\$2,471.38	(\$2,471.38)	Box 6: Gross Proceeds
	1.00000	11/17/2016	12/05/2016	\$4.76	\$27.01	\$0.00	\$22.25	(\$22.25)	Box 6: Gross Proceeds
	1.00000	11/17/2016	12/05/2016	\$4.76	\$28.49	\$0.00	\$23.73	(\$23.73)	Box 6: Gross Proceeds
	3.00000	11/17/2016	12/05/2016	\$14.28	\$52.42	\$0.00	\$38.14	(\$38.14)	Box 6: Gross Proceeds
	6.00000	11/17/2016	12/05/2016	\$28.56	\$104.96	\$0.00	\$76.40	(\$76.40)	Box 6: Gross Proceeds

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**

**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
***DRYSHIPS INC COM PAR \$0.01 NEW CUSIP: Y2109Q309	10.00000	11/17/2016	12/05/2016	\$47.60	\$275.97	\$0.00	\$228.37	(\$228.37)	Box 6: Gross Proceeds
	16.00000	11/17/2016	12/05/2016	\$76.16	\$258.39	\$0.00	\$182.23	(\$182.23)	Box 6: Gross Proceeds
	16.00000	11/17/2016	12/05/2016	\$76.16	\$263.70	\$0.00	\$187.54	(\$187.54)	Box 6: Gross Proceeds
	47.00000	11/17/2016	12/05/2016	\$223.71	\$1,338.12	\$0.00	\$1,114.41	(\$1,114.41)	Box 6: Gross Proceeds
	52.00000	11/17/2016	12/05/2016	\$247.51	\$1,477.36	\$0.00	\$1,229.85	(\$1,229.85)	Box 6: Gross Proceeds
	84.00000	11/17/2016	12/05/2016	\$399.83	\$1,349.19	\$0.00	\$949.36	(\$949.36)	Box 6: Gross Proceeds
	84.00000	11/17/2016	12/05/2016	\$399.83	\$1,385.21	\$0.00	\$985.38	(\$985.38)	Box 6: Gross Proceeds
	90.00000	11/17/2016	12/05/2016	\$428.39	\$2,596.36	\$0.00	\$2,167.97	(\$2,167.97)	Box 6: Gross Proceeds
	91.00000	11/17/2016	12/05/2016	\$433.15	\$1,606.46	\$0.00	\$1,173.31	(\$1,173.31)	Box 6: Gross Proceeds
	99.00000	11/17/2016	12/05/2016	\$471.23	\$2,677.57	\$0.00	\$2,206.34	(\$2,206.34)	Box 6: Gross Proceeds
	100.00000	11/21/2016	12/05/2016	\$467.98	\$663.71	\$0.00	\$195.73	(\$195.73)	Box 6: Gross Proceeds
	100.00000	11/21/2016	12/05/2016	\$467.99	\$663.03	\$0.00	\$195.04	(\$195.04)	Box 6: Gross Proceeds
	40.00000	11/21/2016	12/05/2016	\$187.20	\$234.30	\$0.00	\$47.10	(\$47.10)	Box 6: Gross Proceeds
	160.00000	11/21/2016	12/05/2016	\$748.78	\$934.04	\$0.00	\$185.26	(\$185.26)	Box 6: Gross Proceeds
	400.00000	11/21/2016	12/05/2016	\$1,871.96	\$2,652.14	\$0.00	\$780.18	(\$780.18)	Box 6: Gross Proceeds
	100.00000	11/21/2016	12/05/2016	\$475.99	\$665.69	\$0.00	\$189.70	(\$189.70)	Box 6: Gross Proceeds
	200.00000	11/21/2016	12/05/2016	\$951.98	\$1,171.50	\$0.00	\$219.52	(\$219.52)	Box 6: Gross Proceeds
	500.00000	11/21/2016	12/05/2016	\$2,379.95	\$3,325.07	\$0.00	\$945.12	(\$945.12)	Box 6: Gross Proceeds
	100.00000	11/21/2016	12/05/2016	\$474.59	\$610.70	\$0.00	\$136.11	(\$136.11)	Box 6: Gross Proceeds
	100.00000	11/21/2016	12/05/2016	\$474.59	\$618.69	\$0.00	\$144.10	(\$144.10)	Box 6: Gross Proceeds
	200.00000	11/21/2016	12/05/2016	\$949.18	\$1,188.18	\$0.00	\$239.00	(\$239.00)	Box 6: Gross Proceeds
	200.00000	11/21/2016	12/05/2016	\$949.18	\$1,205.00	\$0.00	\$255.82	(\$255.82)	Box 6: Gross Proceeds
	200.00000	11/21/2016	12/05/2016	\$949.18	\$1,218.20	\$0.00	\$269.02	(\$269.02)	Box 6: Gross Proceeds
	200.00000	11/21/2016	12/05/2016	\$949.18	\$1,218.20	\$0.00	\$269.02	(\$269.02)	Box 6: Gross Proceeds
	200.00000	11/21/2016	12/05/2016	\$949.18	\$1,331.39	\$0.00	\$382.21	(\$382.21)	Box 6: Gross Proceeds
	800.00000	12/05/2016	12/05/2016	\$3,796.72	\$3,871.52	\$0.00	\$74.80	(\$74.80)	Box 6: Gross Proceeds
	1.00000	11/17/2016	12/14/2016	\$3.74	\$18.14	\$0.00	\$14.40	(\$14.40)	Box 6: Gross Proceeds

**THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES**  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092  
Account Executive No: ET1  
ORIGINAL: 12/31/2016

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED****OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
Box 5: Box Not Checked (Covered Security)

Box 3: Basis Reported to the IRS

Box 2: Type of Gain or Loss -Short-Term

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
**DRYSHIPS INC COM PAR \$0.01 NEW CUSIP: Y2109Q309	1.00000	11/17/2016	12/14/2016	\$3.74	\$26.59	\$0.00	\$22.85	(\$22.85)	Box 6: Gross Proceeds
	1.00000	11/17/2016	12/14/2016	\$3.74	\$28.08	\$0.00	\$24.34	(\$24.34)	Box 6: Gross Proceeds
	2.00000	11/17/2016	12/14/2016	\$7.47	\$33.77	\$0.00	\$26.30	(\$26.30)	Box 6: Gross Proceeds
	2.00000	11/17/2016	12/14/2016	\$7.47	\$53.35	\$0.00	\$45.88	(\$45.88)	Box 6: Gross Proceeds
	3.00000	11/17/2016	12/14/2016	\$11.21	\$51.21	\$0.00	\$40.00	(\$40.00)	Box 6: Gross Proceeds
	6.00000	11/17/2016	12/14/2016	\$22.42	\$102.50	\$0.00	\$80.08	(\$80.08)	Box 6: Gross Proceeds
	10.00000	11/17/2016	12/14/2016	\$37.36	\$164.21	\$0.00	\$126.85	(\$126.85)	Box 6: Gross Proceeds
	10.00000	11/17/2016	12/14/2016	\$37.36	\$165.86	\$0.00	\$128.50	(\$128.50)	Box 6: Gross Proceeds
	10.00000	11/17/2016	12/14/2016	\$37.36	\$267.43	\$0.00	\$230.07	(\$230.07)	Box 6: Gross Proceeds
	10.00000	11/17/2016	12/14/2016	\$37.36	\$271.87	\$0.00	\$234.51	(\$234.51)	Box 6: Gross Proceeds
	10.00000	11/17/2016	12/14/2016	\$37.36	\$286.51	\$0.00	\$249.15	(\$249.15)	Box 6: Gross Proceeds
	12.00000	11/17/2016	12/14/2016	\$44.83	\$336.02	\$0.00	\$291.19	(\$291.19)	Box 6: Gross Proceeds
	14.00000	11/17/2016	12/14/2016	\$52.30	\$221.19	\$0.00	\$168.89	(\$168.89)	Box 6: Gross Proceeds
	15.00000	11/17/2016	12/14/2016	\$56.04	\$271.57	\$0.00	\$215.53	(\$215.53)	Box 6: Gross Proceeds
	16.00000	11/17/2016	12/14/2016	\$59.75	\$256.62	\$0.00	\$196.87	(\$196.87)	Box 6: Gross Proceeds
	16.00000	11/17/2016	12/14/2016	\$59.77	\$251.33	\$0.00	\$191.56	(\$191.56)	Box 6: Gross Proceeds
	40.00000	11/17/2016	12/14/2016	\$149.44	\$1,119.67	\$0.00	\$970.23	(\$970.23)	Box 6: Gross Proceeds
	41.00000	11/17/2016	12/14/2016	\$153.17	\$1,091.72	\$0.00	\$938.55	(\$938.55)	Box 6: Gross Proceeds
	47.00000	11/17/2016	12/14/2016	\$175.59	\$1,318.88	\$0.00	\$1,143.29	(\$1,143.29)	Box 6: Gross Proceeds
	50.00000	11/17/2016	12/14/2016	\$186.80	\$942.90	\$0.00	\$756.10	(\$756.10)	Box 6: Gross Proceeds
	50.00000	11/17/2016	12/14/2016	\$186.80	\$948.87	\$0.00	\$762.07	(\$762.07)	Box 6: Gross Proceeds
	58.00000	11/17/2016	12/14/2016	\$216.68	\$1,543.95	\$0.00	\$1,327.27	(\$1,327.27)	Box 6: Gross Proceeds
	64.00000	11/17/2016	12/14/2016	\$239.10	\$1,011.07	\$0.00	\$771.97	(\$771.97)	Box 6: Gross Proceeds
	84.00000	11/17/2016	12/14/2016	\$313.82	\$1,312.17	\$0.00	\$998.35	(\$998.35)	Box 6: Gross Proceeds
	84.00000	11/17/2016	12/14/2016	\$313.82	\$1,348.19	\$0.00	\$1,034.37	(\$1,034.37)	Box 6: Gross Proceeds
	84.00000	11/17/2016	12/14/2016	\$313.82	\$1,522.14	\$0.00	\$1,208.32	(\$1,208.32)	Box 6: Gross Proceeds
	88.00000	11/17/2016	12/14/2016	\$328.76	\$2,354.02	\$0.00	\$2,025.26	(\$2,025.26)	Box 6: Gross Proceeds

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
Box 5: Box Not Checked (Covered Security)

Box 3: Basis Reported to the IRS

Box 2: Type of Gain or Loss -Short-Term

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
***DRYSHIPS INC COM PAR \$0.01 NEW CUSIP: Y2109Q309	90.00000	11/17/2016	12/14/2016	\$336.23	\$2,559.53	\$0.00	\$2,223.30	(\$2,223.30)	Box 6: Gross Proceeds
	90.00000	11/17/2016	12/14/2016	\$336.23	\$2,582.72	\$0.00	\$2,246.49	(\$2,246.49)	Box 6: Gross Proceeds
	91.00000	11/17/2016	12/14/2016	\$339.97	\$1,569.22	\$0.00	\$1,229.25	(\$1,229.25)	Box 6: Gross Proceeds
	100.00000	11/17/2016	12/14/2016	\$373.59	\$2,895.28	\$0.00	\$2,521.69	(\$2,521.69)	Box 6: Gross Proceeds
	100.00000	11/21/2016	12/14/2016	\$373.59	\$559.01	\$0.00	\$185.42	(\$185.42)	Box 6: Gross Proceeds
	100.00000	11/21/2016	12/14/2016	\$373.59	\$567.00	\$0.00	\$193.41	(\$193.41)	Box 6: Gross Proceeds
	200.00000	11/21/2016	12/14/2016	\$747.18	\$1,114.82	\$0.00	\$367.64	(\$367.64)	Box 6: Gross Proceeds
	200.00000	11/21/2016	12/14/2016	\$747.19	\$1,114.82	\$0.00	\$367.63	(\$367.63)	Box 6: Gross Proceeds
	200.00000	11/21/2016	12/14/2016	\$747.19	\$1,228.01	\$0.00	\$480.82	(\$480.82)	Box 6: Gross Proceeds
	1.00000	11/17/2016	12/15/2016	\$4.48	\$18.56	\$0.00	\$0.00	(\$14.08)	Box 6: Gross Proceeds
	1.00000	11/17/2016	12/15/2016	\$4.48	\$27.01	\$0.00	\$0.00	(\$22.53)	Box 6: Gross Proceeds
	1.00000	11/17/2016	12/15/2016	\$4.48	\$28.50	\$0.00	\$4.48	(\$24.02)	Box 6: Gross Proceeds
	2.00000	11/17/2016	12/15/2016	\$8.96	\$34.75	\$0.00	\$0.00	(\$25.79)	Box 6: Gross Proceeds
	2.00000	11/17/2016	12/15/2016	\$8.96	\$54.19	\$0.00	\$0.00	(\$45.23)	Box 6: Gross Proceeds
	3.00000	11/17/2016	12/15/2016	\$13.45	\$52.43	\$0.00	\$0.00	(\$38.98)	Box 6: Gross Proceeds
	6.00000	11/17/2016	12/15/2016	\$26.89	\$105.01	\$0.00	\$0.00	(\$78.12)	Box 6: Gross Proceeds
	10.00000	11/17/2016	12/15/2016	\$44.82	\$169.10	\$0.00	\$0.00	(\$124.28)	Box 6: Gross Proceeds
	10.00000	11/17/2016	12/15/2016	\$44.82	\$170.75	\$0.00	\$0.00	(\$125.93)	Box 6: Gross Proceeds
	10.00000	11/17/2016	12/15/2016	\$44.82	\$271.62	\$0.00	\$0.00	(\$226.80)	Box 6: Gross Proceeds
	10.00000	11/17/2016	12/15/2016	\$44.82	\$276.06	\$0.00	\$0.00	(\$231.24)	Box 6: Gross Proceeds
	10.00000	11/17/2016	12/15/2016	\$44.82	\$290.70	\$0.00	\$0.00	(\$245.88)	Box 6: Gross Proceeds
	12.00000	11/17/2016	12/15/2016	\$53.78	\$341.05	\$0.00	\$0.00	(\$287.27)	Box 6: Gross Proceeds
	14.00000	11/17/2016	12/15/2016	\$62.75	\$228.04	\$0.00	\$0.00	(\$165.29)	Box 6: Gross Proceeds
	15.00000	11/17/2016	12/15/2016	\$67.23	\$277.86	\$0.00	\$0.00	(\$210.63)	Box 6: Gross Proceeds
	40.00000	11/17/2016	12/15/2016	\$179.28	\$1,136.43	\$0.00	\$0.00	(\$957.15)	Box 6: Gross Proceeds
	41.00000	11/17/2016	12/15/2016	\$183.76	\$1,108.91	\$0.00	\$0.00	(\$925.15)	Box 6: Gross Proceeds
	47.00000	11/17/2016	12/15/2016	\$210.65	\$1,338.58	\$0.00	\$0.00	(\$1,127.93)	Box 6: Gross Proceeds

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: **8290**  
Account Name: **ROBERT B LADD**  
Taxpayer Identification Number: **\*\*\*-\*\*-0092**

Account Executive No: **ET1**

ORIGINAL: **12/31/2016**

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**

**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
***DRYSHIPS INC	50.00000	11/17/2016	12/15/2016	\$224.10	\$963.85	\$0.00	\$0.00	(\$739.75)	Box 6: Gross Proceeds
COM PAR \$0.01 NEW	50.00000	11/17/2016	12/15/2016	\$224.10	\$969.82	\$0.00	\$0.00	(\$745.72)	Box 6: Gross Proceeds
CUSIP: Y2109Q309	58.00000	11/17/2016	12/15/2016	\$259.95	\$1,568.26	\$0.00	\$0.00	(\$1,308.31)	Box 6: Gross Proceeds
	64.00000	11/17/2016	12/15/2016	\$286.84	\$1,042.36	\$0.00	\$0.00	(\$755.52)	Box 6: Gross Proceeds
	84.00000	11/17/2016	12/15/2016	\$376.48	\$1,557.34	\$0.00	\$0.00	(\$1,180.86)	Box 6: Gross Proceeds
	88.00000	11/17/2016	12/15/2016	\$394.41	\$2,390.90	\$0.00	\$0.00	(\$1,996.49)	Box 6: Gross Proceeds
	90.00000	11/17/2016	12/15/2016	\$403.37	\$2,597.25	\$0.00	\$0.00	(\$2,193.88)	Box 6: Gross Proceeds
	90.00000	11/17/2016	12/15/2016	\$403.37	\$2,620.44	\$0.00	\$0.00	(\$2,217.07)	Box 6: Gross Proceeds
	91.00000	11/17/2016	12/15/2016	\$407.85	\$1,607.36	\$0.00	\$0.00	(\$1,199.51)	Box 6: Gross Proceeds
	100.00000	11/17/2016	12/15/2016	\$448.19	\$2,937.19	\$0.00	\$0.00	(\$2,489.00)	Box 6: Gross Proceeds
	16.00000	11/17/2016	12/15/2016	\$80.35	\$258.04	\$0.00	\$0.00	(\$177.69)	Box 6: Gross Proceeds
	16.00000	11/17/2016	12/15/2016	\$80.35	\$263.35	\$0.00	\$0.00	(\$183.00)	Box 6: Gross Proceeds
	84.00000	11/17/2016	12/15/2016	\$421.84	\$1,347.37	\$0.00	\$0.00	(\$925.53)	Box 6: Gross Proceeds
	84.00000	11/17/2016	12/15/2016	\$421.84	\$1,383.39	\$0.00	\$0.00	(\$961.55)	Box 6: Gross Proceeds
	40.00000	11/21/2016	12/15/2016	\$200.88	\$216.66	\$0.00	\$0.00	(\$15.78)	Box 6: Gross Proceeds
	160.00000	11/21/2016	12/15/2016	\$803.50	\$863.50	\$0.00	\$0.00	(\$60.00)	Box 6: Gross Proceeds
	200.00000	11/21/2016	12/15/2016	\$1,004.38	\$1,084.80	\$0.00	\$0.00	(\$80.42)	Box 6: Gross Proceeds
	200.00000	11/21/2016	12/15/2016	\$1,004.38	\$1,101.62	\$0.00	\$0.00	(\$97.24)	Box 6: Gross Proceeds
	200.00000	11/21/2016	12/15/2016	\$1,004.38	\$1,237.89	\$0.00	\$0.00	(\$233.51)	Box 6: Gross Proceeds
	100.00000	11/21/2016	12/16/2016	\$605.49	\$599.31	\$0.00	\$0.00	\$6.18	Box 6: Gross Proceeds
	15.00000	11/21/2016	12/16/2016	\$91.72	\$98.39	\$0.00	\$0.00	(\$6.67)	Box 6: Gross Proceeds
	100.00000	11/21/2016	12/16/2016	\$611.48	\$599.32	\$0.00	\$0.00	\$12.16	Box 6: Gross Proceeds
	100.00000	11/21/2016	12/16/2016	\$611.49	\$600.92	\$0.00	\$0.00	\$10.57	Box 6: Gross Proceeds
	100.00000	11/21/2016	12/16/2016	\$611.49	\$608.91	\$0.00	\$0.00	\$2.58	Box 6: Gross Proceeds
	100.00000	11/21/2016	12/16/2016	\$612.49	\$618.94	\$0.00	\$0.00	(\$6.45)	Box 6: Gross Proceeds
	100.00000	11/21/2016	12/16/2016	\$612.49	\$619.63	\$0.00	\$0.00	(\$7.14)	Box 6: Gross Proceeds
	185.00000	11/21/2016	12/16/2016	\$1,133.10	\$1,213.44	\$0.00	\$0.00	(\$80.34)	Box 6: Gross Proceeds

**THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES**  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: **8290**  
Account Name: **ROBERT B LADD**  
Taxpayer Identification Number: **\*\*\*-\*\*-0092**  
Account Executive No: **ET1**  
ORIGINAL: **12/31/2016**

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED****OMB No. 1545-0715**

**Covered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box A checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS****Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
***DRYSHIPS INC COM PAR \$0.01 NEW CUSIP: Y2109Q309	200.00000	11/21/2016	12/16/2016	\$1,224.97	\$1,237.89	\$0.00	\$0.00	(\$12.92)	Box 6: Gross Proceeds
<b>Subtotals</b>	<b>36,700.00000</b>			<b>\$382,550.65</b>	<b>\$768,394.33</b>	<b>\$0.00</b>	<b>\$363,324.52</b>	<b>(\$385,843.68)</b>	
***EUROSEAS LTD COM CUSIP: Y23592309	100.00000	11/23/2016	11/23/2016	\$283.62	\$298.20	\$0.00	\$0.00	(\$14.58)	Box 6: Gross Proceeds
	900.00000	11/23/2016	11/23/2016	\$2,552.62	\$2,852.06	\$0.00	\$0.00	(\$299.44)	Box 6: Gross Proceeds
	100.00000	11/23/2016	11/23/2016	\$283.72	\$431.29	\$0.00	\$0.00	(\$147.57)	Box 6: Gross Proceeds
	900.00000	11/23/2016	11/23/2016	\$2,553.52	\$3,645.86	\$0.00	\$0.00	(\$1,092.34)	Box 6: Gross Proceeds
	100.00000	11/23/2016	11/23/2016	\$284.84	\$417.93	\$0.00	\$133.09	(\$133.09)	Box 6: Gross Proceeds
	900.00000	11/23/2016	11/23/2016	\$2,563.60	\$2,731.86	\$0.00	\$168.26	(\$168.26)	Box 6: Gross Proceeds
	1,000.00000	11/23/2016	11/23/2016	\$2,851.94	\$3,737.44	\$0.00	\$885.50	(\$885.50)	Box 6: Gross Proceeds
	100.00000	11/23/2016	11/23/2016	\$285.19	\$399.58	\$0.00	\$114.39	(\$114.39)	Box 6: Gross Proceeds
	900.00000	11/23/2016	11/23/2016	\$2,566.75	\$3,528.81	\$0.00	\$962.06	(\$962.06)	Box 6: Gross Proceeds
	1,000.00000	11/23/2016	11/23/2016	\$2,855.94	\$3,409.59	\$0.00	\$553.65	(\$553.65)	Box 6: Gross Proceeds
<b>Subtotals</b>	<b>6,000.00000</b>			<b>\$17,081.74</b>	<b>\$21,452.62</b>	<b>\$0.00</b>	<b>\$2,816.95</b>	<b>(\$4,370.88)</b>	
<b>1156 ITEMS - TOTAL</b>				<b>\$2,684,123.49</b>	<b>\$2,931,296.02</b>	<b>\$0.00</b>	<b>\$409,152.85</b>	<b>(\$247,172.53)</b>	

THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: **8290**  
Account Name: **ROBERT B LADD**  
Taxpayer Identification Number: **\*\*\*-\*\*-0092**

Account Executive No: **ET1**

ORIGINAL: **12/31/2016**

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Noncovered Short-Term Gains or Losses**  
**Report on Form 8949, Part I with Box B checked**  
**Box 5: Box Checked (Noncovered Security)**

**Box 3: Basis Not Reported to the IRS**

**Box 2: Type of Gain or Loss -Short-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired	Date Sold or Disposed (Box 1c)	Proceeds/ Reported to IRS (Box 1d)	Cost or Other Basis	Accrued Market Discount	Wash Sale Loss Disallowed	Gain/Loss Amount	Additional Information
MGT CAPITAL INVESTMENTS INC CUSIP: 55302P202	100.00000	11/27/2015	05/11/2016	\$126.50	\$0.00	\$0.00	\$0.00	\$126.50	Box 6: Gross Proceeds
	100.00000	11/27/2015	05/11/2016	\$130.50	\$0.00	\$0.00	\$0.00	\$130.50	Box 6: Gross Proceeds
	100.00000	11/27/2015	05/11/2016	\$141.49	\$0.00	\$0.00	\$0.00	\$141.49	Box 6: Gross Proceeds
	200.00000	11/27/2015	05/11/2016	\$280.99	\$0.00	\$0.00	\$0.00	\$280.99	Box 6: Gross Proceeds
	700.00000	11/27/2015	05/11/2016	\$858.06	\$0.00	\$0.00	\$0.00	\$858.06	Box 6: Gross Proceeds
	1,100.00000	11/27/2015	05/11/2016	\$1,122.98	\$0.00	\$0.00	\$0.00	\$1,122.98	Box 6: Gross Proceeds
	4,700.00000	11/27/2015	05/11/2016	\$6,546.36	\$0.00	\$0.00	\$0.00	\$6,546.36	Box 6: Gross Proceeds
	4,800.00000	11/27/2015	05/11/2016	\$6,503.85	\$0.00	\$0.00	\$0.00	\$6,503.85	Box 6: Gross Proceeds
	5,000.00000	11/27/2015	05/11/2016	\$6,214.87	\$0.00	\$0.00	\$0.00	\$6,214.87	Box 6: Gross Proceeds
	5,000.00000	11/27/2015	05/11/2016	\$6,664.86	\$0.00	\$0.00	\$0.00	\$6,664.86	Box 6: Gross Proceeds
	5,300.00000	11/27/2015	05/11/2016	\$6,603.12	\$0.00	\$0.00	\$0.00	\$6,603.12	Box 6: Gross Proceeds
	7,000.00000	11/27/2015	05/11/2016	\$7,899.83	\$0.00	\$0.00	\$0.00	\$7,899.83	Box 6: Gross Proceeds
	7,000.00000	11/27/2015	05/11/2016	\$8,039.83	\$0.00	\$0.00	\$0.00	\$8,039.83	Box 6: Gross Proceeds
	7,000.00000	11/27/2015	05/11/2016	\$8,599.82	\$0.00	\$0.00	\$0.00	\$8,599.82	Box 6: Gross Proceeds
	8,900.00000	11/27/2015	05/11/2016	\$9,077.80	\$0.00	\$0.00	\$0.00	\$9,077.80	Box 6: Gross Proceeds
	9,701.00000	11/27/2015	05/11/2016	\$9,982.12	\$0.00	\$0.00	\$0.00	\$9,982.12	Box 6: Gross Proceeds
	10,000.00000	11/27/2015	05/11/2016	\$10,289.78	\$0.00	\$0.00	\$0.00	\$10,289.78	Box 6: Gross Proceeds
	10,000.00000	11/27/2015	05/11/2016	\$10,389.78	\$0.00	\$0.00	\$0.00	\$10,389.78	Box 6: Gross Proceeds
	10,000.00000	11/27/2015	05/11/2016	\$10,389.78	\$0.00	\$0.00	\$0.00	\$10,389.78	Box 6: Gross Proceeds
	10,000.00000	11/27/2015	05/11/2016	\$10,589.77	\$0.00	\$0.00	\$0.00	\$10,589.77	Box 6: Gross Proceeds
	17,000.00000	11/27/2015	05/11/2016	\$18,519.60	\$0.00	\$0.00	\$0.00	\$18,519.60	Box 6: Gross Proceeds
	1,299.00000	11/27/2015	05/12/2016	\$1,691.66	\$0.00	\$0.00	\$0.00	\$1,691.66	Box 6: Gross Proceeds
	1,700.00000	11/27/2015	05/12/2016	\$2,246.16	\$0.00	\$0.00	\$0.00	\$2,246.16	Box 6: Gross Proceeds
	3,300.00000	11/27/2015	05/12/2016	\$4,353.50	\$0.00	\$0.00	\$0.00	\$4,353.50	Box 6: Gross Proceeds
	5,000.00000	11/27/2015	05/12/2016	\$8,514.82	\$0.00	\$0.00	\$0.00	\$8,514.82	Box 6: Gross Proceeds
<b>Subtotals</b>	<b>135,000.00000</b>			<b>\$155,777.83</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$155,777.83</b>	
<b>25 ITEMS - TOTAL</b>				<b>\$155,777.83</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$155,777.83</b>	

**THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES**  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: **8290**  
Account Name: **ROBERT B LADD**  
Taxpayer Identification Number: **\*\*\*-\*\*-0092**

Account Executive No: **ET1**

ORIGINAL: **12/31/2016**

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Covered Long-Term Gains or Losses**  
**Report on Form 8949, Part II with Box D checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS**

**Box 2: Type of Gain or Loss -Long-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds/ Reported to IRS (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
MGT CAPITAL INVESTMENTS INC CUSIP: 55302P202	200.00000	12/23/2011	05/09/2016	\$93.02	\$159.88	\$0.00	\$0.00	(\$66.86)	Box 6: Gross Proceeds
	1,500.00000	12/23/2011	05/09/2016	\$772.48	\$1,193.11	\$0.00	\$0.00	(\$420.63)	Box 6: Gross Proceeds
	1,500.00000	12/23/2011	05/09/2016	\$772.48	\$1,199.07	\$0.00	\$0.00	(\$426.59)	Box 6: Gross Proceeds
	1,679.00000	03/21/2012	05/10/2016	\$1,139.85	\$3,383.09	\$0.00	\$0.00	(\$2,243.24)	Box 6: Gross Proceeds
	2,490.00000	03/21/2012	05/10/2016	\$1,790.27	\$5,017.22	\$0.00	\$0.00	(\$3,226.95)	Box 6: Gross Proceeds
	5,709.00000	03/28/2012	05/10/2016	\$4,104.69	\$10,982.33	\$0.00	\$0.00	(\$6,877.64)	Box 6: Gross Proceeds
	1,600.00000	06/08/2012	05/10/2016	\$1,150.38	\$6,485.15	\$0.00	\$0.00	(\$5,334.77)	Box 6: Gross Proceeds
	201.00000	06/12/2012	05/10/2016	\$144.52	\$900.99	\$0.00	\$0.00	(\$756.47)	Box 6: Gross Proceeds
	299.00000	06/12/2012	05/10/2016	\$216.47	\$1,340.29	\$0.00	\$0.00	(\$1,123.82)	Box 6: Gross Proceeds
	1,000.00000	08/07/2012	05/10/2016	\$723.99	\$4,730.15	\$0.00	\$0.00	(\$4,006.16)	Box 6: Gross Proceeds
	3,701.00000	12/23/2011	05/12/2016	\$4,848.20	\$2,943.79	\$0.00	\$0.00	\$1,904.41	Box 6: Gross Proceeds
	1,901.00000	12/23/2011	05/12/2016	\$2,733.58	\$1,496.67	\$0.00	\$0.00	\$1,236.91	Box 6: Gross Proceeds
	3,099.00000	12/23/2011	05/12/2016	\$4,456.27	\$2,464.96	\$0.00	\$0.00	\$1,991.31	Box 6: Gross Proceeds
	1,601.00000	12/23/2011	05/12/2016	\$2,356.62	\$772.90	\$0.00	\$0.00	\$1,583.72	Box 6: Gross Proceeds
	3,399.00000	12/23/2011	05/12/2016	\$5,003.22	\$2,358.63	\$0.00	\$0.00	\$2,644.59	Box 6: Gross Proceeds
	2,099.00000	12/23/2011	05/12/2016	\$3,417.10	\$1,652.55	\$0.00	\$0.00	\$1,764.55	Box 6: Gross Proceeds
	2,901.00000	12/23/2011	05/12/2016	\$4,722.73	\$2,301.96	\$0.00	\$0.00	\$2,420.77	Box 6: Gross Proceeds
	100.00000	12/23/2011	05/12/2016	\$164.80	\$85.60	\$0.00	\$0.00	\$79.20	Box 6: Gross Proceeds
	1,099.00000	12/23/2011	05/12/2016	\$1,811.12	\$872.06	\$0.00	\$0.00	\$939.06	Box 6: Gross Proceeds
	1,900.00000	12/23/2011	05/12/2016	\$3,131.13	\$1,487.67	\$0.00	\$0.00	\$1,643.46	Box 6: Gross Proceeds
	1,901.00000	12/23/2011	05/12/2016	\$3,132.78	\$1,467.52	\$0.00	\$0.00	\$1,665.26	Box 6: Gross Proceeds
	99.00000	12/23/2011	05/12/2016	\$170.08	\$76.43	\$0.00	\$0.00	\$93.65	Box 6: Gross Proceeds
	386.00000	12/23/2011	05/12/2016	\$663.13	\$292.69	\$0.00	\$0.00	\$370.44	Box 6: Gross Proceeds
	600.00000	12/23/2011	05/12/2016	\$1,030.78	\$463.14	\$0.00	\$0.00	\$567.64	Box 6: Gross Proceeds
	914.00000	12/23/2011	05/12/2016	\$1,570.22	\$703.97	\$0.00	\$0.00	\$866.25	Box 6: Gross Proceeds
	1,100.00000	12/23/2011	05/12/2016	\$1,889.76	\$834.06	\$0.00	\$0.00	\$1,055.70	Box 6: Gross Proceeds
	1,901.00000	12/23/2011	05/12/2016	\$3,265.85	\$1,439.06	\$0.00	\$0.00	\$1,826.79	Box 6: Gross Proceeds

**THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES**  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: **8290**  
Account Name: **ROBERT B LADD**  
Taxpayer Identification Number: **\*\*\*-\*\*-0092**  
Account Executive No: **ET1**  
ORIGINAL: **12/31/2016**

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED****OMB No. 1545-0715**

**Covered Long-Term Gains or Losses**  
**Report on Form 8949, Part II with Box D checked**  
**Box 5: Box Not Checked (Covered Security)**

**Box 3: Basis Reported to the IRS****Box 2: Type of Gain or Loss -Long-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired (Box 1b)	Date Sold or Disposed (Box 1c)	Proceeds/ Reported to IRS (Box 1d)	Cost or Other Basis (Box 1e)	Accrued Market Discount (Box 1f)	Wash Sale Loss Disallowed (Box 1g)	Gain/Loss Amount	Additional Information
MGT CAPITAL INVESTMENTS INC CUSIP: 55302P202	700.00000	12/23/2011	05/12/2016	\$1,279.57	\$524.07	\$0.00	\$0.00	\$755.50	Box 6: Gross Proceeds
	1,901.00000	12/23/2011	05/12/2016	\$3,474.96	\$1,319.14	\$0.00	\$0.00	\$2,155.82	Box 6: Gross Proceeds
	2,399.00000	12/23/2011	05/12/2016	\$4,385.28	\$1,816.06	\$0.00	\$0.00	\$2,569.22	Box 6: Gross Proceeds
	1,000.00000	12/23/2011	05/16/2016	\$2,153.16	\$482.76	\$0.00	\$0.00	\$1,670.40	Box 6: Gross Proceeds
	99.00000	12/23/2011	05/16/2016	\$222.42	\$47.79	\$0.00	\$0.00	\$174.63	Box 6: Gross Proceeds
<b>Subtotals</b>	<b>50,978.00000</b>			<b>\$66,790.91</b>	<b>\$61,294.76</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$5,496.15</b>	
<b>32 ITEMS - TOTAL</b>				<b>\$66,790.91</b>	<b>\$61,294.76</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$5,496.15</b>	



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**
**OMB No. 1545-0715**

**Noncovered Long-Term Gains or Losses**  
**Report on Form 8949, Part II with Box E checked**  
**Box 5: Box Checked (Noncovered Security)**

**Box 3: Basis Not Reported to the IRS**

**Box 2: Type of Gain or Loss -Long-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired	Date Sold or Disposed (Box 1c)	Proceeds/ Reported to IRS (Box 1d)	Cost or Other Basis	Accrued Market Discount	Wash Sale Loss Disallowed	Gain/Loss Amount	Additional Information
MGT CAPITAL INVESTMENTS INC CUSIP: 55302P202	4,000.00000	12/23/2011	01/25/2016	\$1,229.98	\$3,320.00	\$0.00	\$2,090.02	(\$2,090.02)	Box 6: Gross Proceeds
	4,000.00000	12/23/2011	01/25/2016	\$1,254.78	\$3,320.00	\$0.00	\$2,065.22	(\$2,065.22)	Box 6: Gross Proceeds
	100.00000	12/23/2011	01/28/2016	\$24.50	\$83.00	\$0.00	\$58.50	(\$58.50)	Box 6: Gross Proceeds
	386.00000	12/23/2011	02/01/2016	\$127.37	\$320.38	\$0.00	\$193.01	(\$193.01)	Box 6: Gross Proceeds
	4,814.00000	12/23/2011	02/01/2016	\$1,530.94	\$3,995.62	\$0.00	\$2,464.68	(\$2,464.68)	Box 6: Gross Proceeds
	600.00000	12/23/2011	02/02/2016	\$189.80	\$498.00	\$0.00	\$308.20	(\$308.20)	Box 6: Gross Proceeds
	5,400.00000	12/23/2011	02/02/2016	\$1,781.96	\$4,482.00	\$0.00	\$2,700.04	(\$2,700.04)	Box 6: Gross Proceeds
	6,000.00000	12/23/2011	02/02/2016	\$2,029.97	\$4,980.00	\$0.00	\$2,950.03	(\$2,950.03)	Box 6: Gross Proceeds
	400.00000	12/23/2011	02/03/2016	\$200.39	\$332.00	\$0.00	\$0.00	(\$131.61)	Box 6: Gross Proceeds
	500.00000	12/23/2011	02/03/2016	\$250.04	\$415.00	\$0.00	\$0.00	(\$164.96)	Box 6: Gross Proceeds
	1,034.00000	12/23/2011	02/03/2016	\$527.33	\$858.22	\$0.00	\$0.00	(\$330.89)	Box 6: Gross Proceeds
	1,950.00000	12/23/2011	02/03/2016	\$997.36	\$1,618.50	\$0.00	\$0.00	(\$621.14)	Box 6: Gross Proceeds
	16,116.00000	12/23/2011	02/03/2016	\$8,057.85	\$13,376.28	\$0.00	\$0.00	(\$5,318.43)	Box 6: Gross Proceeds
	20,000.00000	12/23/2011	02/03/2016	\$10,989.80	\$16,600.00	\$0.00	\$757.38	(\$5,610.20)	Box 6: Gross Proceeds
	5,000.00000	12/23/2011	02/16/2016	\$1,303.48	\$4,150.00	\$0.00	\$0.00	(\$2,846.52)	Box 6: Gross Proceeds
	5,000.00000	12/23/2011	02/26/2016	\$1,139.98	\$4,150.00	\$0.00	\$0.00	(\$3,010.02)	Box 6: Gross Proceeds
	7,000.00000	12/23/2011	03/09/2016	\$1,880.66	\$5,810.00	\$0.00	\$0.00	(\$3,929.34)	Box 6: Gross Proceeds
	12,072.00000	12/23/2011	04/27/2016	\$3,370.09	\$10,019.76	\$0.00	\$0.00	(\$6,649.67)	Box 6: Gross Proceeds
	15,000.00000	12/23/2011	04/27/2016	\$4,189.91	\$12,450.00	\$0.00	\$0.00	(\$8,260.09)	Box 6: Gross Proceeds
	1,300.00000	12/23/2011	04/28/2016	\$406.00	\$1,079.00	\$0.00	\$0.00	(\$673.00)	Box 6: Gross Proceeds
	10,000.00000	12/23/2011	04/28/2016	\$2,989.94	\$8,300.00	\$0.00	\$0.00	(\$5,310.06)	Box 6: Gross Proceeds
	300.00000	12/23/2011	04/29/2016	\$98.96	\$249.00	\$0.00	\$0.00	(\$150.04)	Box 6: Gross Proceeds
	900.00000	12/23/2011	04/29/2016	\$287.00	\$747.00	\$0.00	\$0.00	(\$460.00)	Box 6: Gross Proceeds
	1,000.00000	12/23/2011	04/29/2016	\$315.00	\$830.00	\$0.00	\$0.00	(\$515.00)	Box 6: Gross Proceeds
	1,380.00000	12/23/2011	04/29/2016	\$444.99	\$1,145.40	\$0.00	\$0.00	(\$700.41)	Box 6: Gross Proceeds
	3,500.00000	12/23/2011	04/29/2016	\$1,142.18	\$2,905.00	\$0.00	\$0.00	(\$1,762.82)	Box 6: Gross Proceeds
	4,700.00000	12/23/2011	04/29/2016	\$1,539.56	\$3,901.00	\$0.00	\$0.00	(\$2,361.44)	Box 6: Gross Proceeds

**THIS IS YOUR FORM 1099 (COPY B FOR RECIPIENT) - PLEASE RETAIN FOR TAX PREPARATION PURPOSES**  
The above is important tax information and is being furnished to the Internal Revenue Service (except as indicated). If you are required to file a return,  
a negligence penalty or other sanction may be imposed on you if the income is taxable and the IRS determines that it has not been reported.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: **8290**  
Account Name: **ROBERT B LADD**  
Taxpayer Identification Number: **\*\*\*-\*\*-0092**

Account Executive No: **ET1**

ORIGINAL: **12/31/2016**

**2016 FORM 1099-B: PROCEEDS FROM BROKER AND BARTER EXCHANGE TRANSACTIONS, CONTINUED**

**OMB No. 1545-0715**

**Noncovered Long-Term Gains or Losses**  
**Report on Form 8949, Part II with Box E checked**  
**Box 5: Box Checked (Noncovered Security)**

**Box 3: Basis Not Reported to the IRS**

**Box 2: Type of Gain or Loss -Long-Term**

The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS, but may be helpful to complete your return.

Description CUSIP (Box 1a)	Quantity Sold	Date Acquired	Date Sold or Disposed (Box 1c)	Proceeds/ Reported to IRS (Box 1d)	Cost or Other Basis	Accrued Market Discount	Wash Sale Loss Disallowed	Gain/Loss Amount	Additional Information
MGT CAPITAL INVESTMENTS INC CUSIP: 55302P202	4,700.00000	12/23/2011	04/29/2016	\$1,539.56	\$3,901.00	\$0.00	\$0.00	(\$2,361.44)	Box 6: Gross Proceeds
	5,620.00000	12/23/2011	04/29/2016	\$1,798.92	\$4,664.60	\$0.00	\$0.00	(\$2,865.68)	Box 6: Gross Proceeds
	6,600.00000	12/23/2011	05/03/2016	\$2,431.95	\$5,478.00	\$0.00	\$0.00	(\$3,046.05)	Box 6: Gross Proceeds
	84.00000	12/23/2011	05/09/2016	\$34.10	\$69.72	\$0.00	\$0.00	(\$35.62)	Box 6: Gross Proceeds
	200.00000	12/23/2011	05/09/2016	\$121.00	\$166.00	\$0.00	\$0.00	(\$45.00)	Box 6: Gross Proceeds
	300.00000	12/23/2011	05/09/2016	\$201.53	\$249.00	\$0.00	\$0.00	(\$47.47)	Box 6: Gross Proceeds
	1,000.00000	12/23/2011	05/09/2016	\$639.99	\$830.00	\$0.00	\$0.00	(\$190.01)	Box 6: Gross Proceeds
	3,800.00000	12/23/2011	05/09/2016	\$1,829.54	\$3,154.00	\$0.00	\$0.00	(\$1,324.46)	Box 6: Gross Proceeds
	6,800.00000	12/23/2011	05/09/2016	\$4,385.90	\$5,644.00	\$0.00	\$0.00	(\$1,258.10)	Box 6: Gross Proceeds
	6,916.00000	12/23/2011	05/09/2016	\$3,561.66	\$5,740.28	\$0.00	\$0.00	(\$2,178.62)	Box 6: Gross Proceeds
	8,700.00000	12/23/2011	05/09/2016	\$6,133.36	\$7,221.00	\$0.00	\$0.00	(\$1,087.64)	Box 6: Gross Proceeds
	9,000.00000	12/23/2011	05/09/2016	\$5,974.87	\$7,470.00	\$0.00	\$0.00	(\$1,495.13)	Box 6: Gross Proceeds
	1,800.00000	12/23/2011	05/10/2016	\$1,041.18	\$1,494.00	\$0.00	\$0.00	(\$452.82)	Box 6: Gross Proceeds
	8,200.00000	12/23/2011	05/10/2016	\$4,781.31	\$6,806.00	\$0.00	\$0.00	(\$2,024.69)	Box 6: Gross Proceeds
	10,000.00000	12/23/2011	05/10/2016	\$6,189.87	\$8,300.00	\$0.00	\$0.00	(\$2,110.13)	Box 6: Gross Proceeds
	10,000.00000	12/23/2011	05/10/2016	\$6,413.86	\$8,300.00	\$0.00	\$0.00	(\$1,886.14)	Box 6: Gross Proceeds
	10,000.00000	12/23/2011	05/10/2016	\$6,589.86	\$8,300.00	\$0.00	\$0.00	(\$1,710.14)	Box 6: Gross Proceeds
	8,321.00000	12/23/2011	05/10/2016	\$5,649.01	\$6,906.43	\$0.00	\$0.00	(\$1,257.42)	Box 6: Gross Proceeds
<b>Subtotals</b>	<b>234,493.00000</b>			<b>\$107,617.29</b>	<b>\$194,629.19</b>	<b>\$0.00</b>	<b>\$13,587.08</b>	<b>(\$87,011.90)</b>	
<b>45 ITEMS - TOTAL</b>				<b>\$107,617.29</b>	<b>\$194,629.19</b>	<b>\$0.00</b>	<b>\$13,587.08</b>	<b>(\$87,011.90)</b>	

**FOOT NOTES**

**SHORT SALE** - Short sales covered in December that settle in January will be reported on your Form 1099-B in the year they are settled.

\*\* IRS Instructions require Unknown Term transactions to be assigned Code X for reporting on Form 8949. Please refer to your Tax Advisor for further advice.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: [REDACTED] 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092  
  
Account Executive No: ET1  
  
ORIGINAL: 12/31/2016

END OF 2016 FORM 1099-B



**Form 1099-B (OMB No. 1545-0715)**

Brokers and barter exchanges must report proceeds from (and in some cases, basis for) transactions to you and the IRS on Form 1099-B. Reporting is also required when your broker knows or has reason to know that a corporation in which you own stock has had a reportable change in control or capital structure. You may be required to recognize gain from the receipt of cash, stock, or other property that was exchanged for the corporation's stock. If your broker reported this type of transaction to you, the corporation is identified in box 1a.

**Recipient's identification number.** For your protection, this form may show only the last four digits of your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN). However, the issuer has reported your complete identification number to the IRS.

**Account number.** May show an account or other unique number the payer assigned to distinguish your account.

**CUSIP number.** Shows the CUSIP (Committee on Uniform Security Identification Procedures) number or other applicable identifying number.

**FATCA filing requirement.** If the FATCA filing requirement box is checked, the payer is reporting on this Form 1099 to satisfy its chapter 4 account reporting requirement. You also may have a filing requirement. See the Instructions for Form 8938.

**Applicable check box on Form 8949.** Indicates where to report this transaction on Form 8949 and Schedule D, and which check box is applicable. See the instructions for your Schedule D and/or Form 8949.

**Box 1a.** Shows a brief description of the item or service for which amounts are being reported. For regulated futures contracts and forward contracts, "RFC" or other appropriate description may be shown. For Section 1256 option contracts, "Section 1256 option" or other appropriate description may be shown. For a corporation that had a reportable change in control or capital structure, this box may show the class of stock as C (common), P (preferred), or O (other).

**Box 1b.** This box may be blank if box 5 is checked or if the securities sold were acquired on a variety of dates. For short sales, the date shown is the date you acquired the security delivered to close the short sale.

**Box 1c.** Shows the trade date of the sale or exchange. For short sales, the date shown is the date the security was delivered to close the short sale. For aggregate reporting in boxes 8 through 11, no entry will be present.

**Box 1d.** Shows the cash proceeds, reduced by any commissions or transfer taxes related to the sale, for transactions involving stocks, debt, commodities, forward contracts, non-Section 1256 option contracts, or securities futures contracts. May show the proceeds from the disposition of your interest(s) in a widely held fixed investment trust. May also show the aggregate amount of cash and the fair market value of any stock or other property received in a reportable change in control or capital structure arising from the corporate transfer of property to a foreign corporation. Losses on forward contracts or non-Section 1256 option contracts are shown in parentheses. This box does not include proceeds from regulated futures contracts or Section 1256 option contracts. Report this amount on Form 8949 or on Schedule D (whichever is applicable) as explained in the instructions for Schedule D.

**Box 1e.** Shows the cost or other basis of securities sold. If the securities were acquired through the exercise of a non-compensatory option granted or acquired on or after January 1, 2014, the basis has been adjusted to reflect your option premium. If the securities were acquired through the exercise of a non-compensatory option granted or acquired before January 1, 2014, your broker is permitted, but not required, to adjust the basis to reflect your option premium. If the securities were acquired through the exercise of a compensatory option, the basis has not been adjusted to include any amount related to the option that was reported to you on a Form W-2. If box 5 is checked, box 1e may be blank. See the Instructions for Form 8949, Instructions for Schedule D, or Pub. 550 for details.

**Box 1f.** Shows the amount of accrued market discount. For details on market discount, see Schedule D (Form 1040) instructions, Instructions for Form 8949, and Pub. 550. If box 5 is checked, box 1f may be blank.

**Box 1g.** Shows the amount of nondeductible loss in a wash sale transaction. For details on wash sales, see Schedule D (Form 1040) instructions, Instructions for Form 8949, and Pub. 550. If box 5 is checked, box 1g may be blank.

**Box 2.** The short-term and long-term boxes pertain to short-term gain or loss and long-term gain or loss. If the Ordinary box is checked, your security may be subject to special rules. For example, gain on a contingent payment debt instrument subject to the noncontingent bond method generally is treated as ordinary interest income rather than as capital gain. Please see the Instructions for Form 8949, Pub. 550, or Pub. 1212 for more details on whether there are any special rules or adjustments that might apply to your security. If box 5 is checked, box 2 may be blank.

**Box 3.** If checked, the basis in box 1e has been reported to the IRS and one or more of the check boxes in box 2 must be checked. If box 3 is checked on Form(s) 1099-B and NO adjustment is required, see the instructions for your Schedule D as you may be able to report your transaction directly on Schedule D. If the Ordinary check box in box 2 is checked, an adjustment may be required.

**Box 4.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your taxpayer identification number to the payer. See Form W-9 for information on backup withholding. Include this amount on your income tax return as tax withheld.

**Box 5.** If checked, the securities sold were noncovered securities and boxes 1b, 1e, 1f, 1g, and 2 may be blank. Generally, a noncovered security means: stock purchased before 2011, stock in most mutual funds purchased before 2012, stock purchased in or transferred to a dividend reinvestment plan before 2012, debt acquired before 2014, options granted or acquired before 2014, and securities futures contracts entered into before 2014.

**Box 6.** If the exercise of a non-compensatory option resulted in a sale of a security, indicates whether the amount in box 1d was adjusted for premium.

**Box 7.** If checked, you cannot take a loss on your tax return based on gross proceeds from a reportable change in control or capital structure reported in box 1d. See the Form 8949 and Schedule D instructions. The broker should advise you of any losses on a separate statement.

**Box 12.** If checked, proceeds are from a transaction involving collectibles.

**Box 13.** Shows the cash you received, the fair market value of any property or services you received, and the fair market value of any trade credits or scrip credited to your account by a barter exchange. See Pub. 525.

**Box 14-16.** Shows state(s)/local income tax information.

**Form 1099-B (OMB No. 1545-0715)****Regulated Futures Contracts (Boxes 8 Through 11):**

**Box 8.** Shows the profit or (loss) realized on regulated futures, foreign currency, or Section 1256 option contracts closed during 2016.

**Box 9.** Shows any year end adjustment to the profit or (loss) shown in box 8 due to open contracts on December 31, 2015.

**Box 10.** Shows the unrealized profit or (loss) on open contracts held in your account on December 31, 2016. These are considered closed out as of that date. This will become an adjustment reported as unrealized profit or (loss) on open contracts 12/31/2016 in 2017.

**Box 11.** Boxes 8, 9, and 10 are all used to figure the aggregate profit or (loss) on regulated futures, foreign currency, or Section 1256 option contracts for the year. Include this amount on your 2016 Form 6781.



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: [REDACTED] 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092  
  
Account Executive No: ET1  
  
ORIGINAL: 12/31/2016

**END OF 2016 CONSOLIDATED FORM 1099**



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: [REDACTED] 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

## 2016 INVESTMENT DETAILS

### DETAILS OF 2016 PURCHASES AND SALES

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Comments
06/30/2016	ACTINIUM PHARMACEUTICALS INC	00507W107	Purchase	2,000.000	\$1.80	\$3,617.99	
07/05/2016	ACTINIUM PHARMACEUTICALS INC	00507W107	Sell	1,000.000	\$1.86	\$1,856.16	
07/11/2016	ACTINIUM PHARMACEUTICALS INC	00507W107	Sell	320.000	\$1.79	\$563.51	
07/11/2016	ACTINIUM PHARMACEUTICALS INC	00507W107	Sell	680.000	\$1.79	\$1,215.54	
08/30/2016	AIRBORNE WIRELESS NETWORK COM	00928L102	Purchase	1,000.000	\$0.80	\$807.99	
08/30/2016	AIRBORNE WIRELESS NETWORK COM	00928L102	Purchase	1,000.000	\$0.80	\$807.99	
08/30/2016	AIRBORNE WIRELESS NETWORK COM	00928L102	Sell	1,000.000	\$0.82	\$811.99	
08/30/2016	AIRBORNE WIRELESS NETWORK COM	00928L102	Sell	1,000.000	\$0.82	\$811.99	
05/23/2016	AMERICAN BREWING CO INC COM	024718108	Purchase	1,000.000	\$0.69	\$704.94	
05/23/2016	AMERICAN BREWING CO INC COM	024718108	Sell	500.000	\$0.82	\$401.25	
05/23/2016	AMERICAN BREWING CO INC COM	024718108	Sell	500.000	\$0.92	\$450.99	
11/17/2016	BANK OF AMERICA CORP	060505104	Purchase	1,000.000	\$20.08	\$20,085.19	
11/17/2016	BANK OF AMERICA CORP	060505104	Purchase	2,000.000	\$20.16	\$40,326.39	Closing Purchase
11/17/2016	BANK OF AMERICA CORP	060505104	Sell	1,000.000	\$20.07	\$20,056.57	
11/17/2016	BANK OF AMERICA CORP	060505104	Short Sell	2,000.000	\$20.14	\$40,271.13	Opening Sell
06/30/2016	CANTABIO PHARMACEUTICALS INC COM	13808X104	Purchase	65.000	\$2.08	\$135.20	
06/30/2016	CANTABIO PHARMACEUTICALS INC COM	13808X104	Purchase	1,935.000	\$2.10	\$4,071.49	
06/30/2016	CANTABIO PHARMACEUTICALS INC COM	13808X104	Sell	2,000.000	\$2.07	\$4,131.91	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Purchase	100.000	\$3.10	\$320.00	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Purchase	500.000	\$3.05	\$1,535.04	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Purchase	800.000	\$2.18	\$1,744.00	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Purchase	1,000.000	\$3.50	\$3,509.89	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Purchase	1,000.000	\$3.48	\$3,490.99	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Purchase	1,051.000	\$2.06	\$2,165.06	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Purchase	1,766.000	\$2.05	\$3,630.29	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Purchase	2,100.000	\$2.17	\$4,557.00	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Purchase	2,700.000	\$2.16	\$5,841.99	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Purchase	4,400.000	\$2.19	\$9,636.00	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Sell	100.000	\$3.85	\$375.00	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Sell	100.000	\$3.84	\$374.01	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Sell	100.000	\$3.51	\$341.00	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Sell	100.000	\$3.49	\$339.00	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Sell	200.000	\$3.63	\$716.39	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Sell	200.000	\$3.62	\$714.01	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Sell	200.000	\$3.63	\$715.99	

THIS PAGE IS NOT A SUBSTITUTE FOR FORM 1099 AND IS PROVIDED FOR INFORMATIONAL PURPOSES ONLY



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: Redacted 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

## 2016 INVESTMENT DETAILS

### DETAILS OF 2016 PURCHASES AND SALES

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Comments
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Sell	200.000	\$3.73	\$735.99	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Sell	250.000	\$3.27	\$807.52	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Sell	250.000	\$3.17	\$781.99	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Sell	400.000	\$3.50	\$1,389.17	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Sell	400.000	\$3.51	\$1,395.57	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Sell	500.000	\$2.33	\$1,154.98	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Sell	500.000	\$2.54	\$1,259.98	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Sell	817.000	\$2.22	\$1,803.71	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Sell	1,000.000	\$2.14	\$2,129.96	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Sell	2,000.000	\$2.26	\$4,509.91	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Sell	2,000.000	\$2.31	\$4,609.90	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Sell	2,000.000	\$2.20	\$4,390.11	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Sell	2,000.000	\$2.26	\$4,515.91	
05/20/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Sell	2,000.000	\$2.31	\$4,609.90	
05/23/2016	CELLECTAR BIOSCIENCES INC COM PAR \$0.00	15117F302	Sell	100.000	\$3.58	\$348.00	
06/07/2016	CHINA AUTO LOGISTICS INC COM	16936J202	Purchase	500.000	\$2.90	\$1,457.99	
06/07/2016	CHINA AUTO LOGISTICS INC COM	16936J202	Purchase	1,000.000	\$2.87	\$2,873.19	
06/07/2016	CHINA AUTO LOGISTICS INC COM	16936J202	Purchase	1,000.000	\$2.87	\$2,873.49	
06/07/2016	CHINA AUTO LOGISTICS INC COM	16936J202	Purchase	5,000.000	\$3.07	\$15,357.49	
06/07/2016	CHINA AUTO LOGISTICS INC COM	16936J202	Sell	50.000	\$3.15	\$149.50	
06/07/2016	CHINA AUTO LOGISTICS INC COM	16936J202	Sell	100.000	\$3.04	\$295.80	
06/07/2016	CHINA AUTO LOGISTICS INC COM	16936J202	Sell	400.000	\$3.04	\$1,215.41	
06/07/2016	CHINA AUTO LOGISTICS INC COM	16936J202	Sell	500.000	\$3.12	\$1,551.97	
06/07/2016	CHINA AUTO LOGISTICS INC COM	16936J202	Sell	500.000	\$3.21	\$1,596.97	
06/07/2016	CHINA AUTO LOGISTICS INC COM	16936J202	Sell	500.000	\$2.97	\$1,476.97	
06/07/2016	CHINA AUTO LOGISTICS INC COM	16936J202	Sell	500.000	\$2.88	\$1,432.22	
06/07/2016	CHINA AUTO LOGISTICS INC COM	16936J202	Sell	500.000	\$2.85	\$1,417.02	
06/07/2016	CHINA AUTO LOGISTICS INC COM	16936J202	Sell	500.000	\$3.04	\$1,512.22	
06/07/2016	CHINA AUTO LOGISTICS INC COM	16936J202	Sell	950.000	\$3.15	\$2,987.68	
06/07/2016	CHINA AUTO LOGISTICS INC COM	16936J202	Sell	1,000.000	\$3.20	\$3,191.94	
06/07/2016	CHINA AUTO LOGISTICS INC COM	16936J202	Sell	1,000.000	\$3.20	\$3,194.94	
06/07/2016	CHINA AUTO LOGISTICS INC COM	16936J202	Sell	1,000.000	\$3.13	\$3,122.04	
07/22/2016	DELCATH SYSTEMS INC COM	24661P500	Short Sell	1,000.000	\$3.65	\$3,641.93	Opening Sell
07/28/2016	DELCATH SYSTEMS INC COM	24661P500	Purchase	450.000	\$3.97	\$1,785.11	Closing Purchase
07/28/2016	DELCATH SYSTEMS INC COM	24661P500	Purchase	550.000	\$4.00	\$2,207.99	Closing Purchase

THIS PAGE IS NOT A SUBSTITUTE FOR FORM 1099 AND IS PROVIDED FOR INFORMATIONAL PURPOSES ONLY



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

## 2016 INVESTMENT DETAILS

### DETAILS OF 2016 PURCHASES AND SALES

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Comments
01/08/2016	FATE THERAPEUTICS INC	31189P102	Purchase	1,000.000	\$2.91	\$2,916.39	
02/03/2016	FATE THERAPEUTICS INC	31189P102	Purchase	3,000.000	\$1.75	\$5,259.99	
02/04/2016	FATE THERAPEUTICS INC	31189P102	Sell	1,000.000	\$1.91	\$1,901.37	
02/04/2016	FATE THERAPEUTICS INC	31189P102	Sell	1,000.000	\$1.94	\$1,931.37	
02/04/2016	FATE THERAPEUTICS INC	31189P102	Sell	1,000.000	\$1.93	\$1,921.37	
02/16/2016	FATE THERAPEUTICS INC	31189P102	Purchase	900.000	\$1.65	\$1,492.38	
02/17/2016	FATE THERAPEUTICS INC	31189P102	Sell	1,900.000	\$1.51	\$2,860.46	
05/31/2016	GERON CORP	374163103	Purchase	10,000.000	\$2.90	\$29,007.99	
05/31/2016	GERON CORP	374163103	Purchase	10,000.000	\$2.90	\$29,007.99	
05/31/2016	GERON CORP	374163103	Sell	100.000	\$2.94	\$294.02	
05/31/2016	GERON CORP	374163103	Sell	500.000	\$2.95	\$1,466.97	
05/31/2016	GERON CORP	374163103	Sell	4,500.000	\$2.94	\$13,230.16	
05/31/2016	GERON CORP	374163103	Sell	4,900.000	\$2.94	\$14,397.69	
05/31/2016	GERON CORP	374163103	Sell	5,000.000	\$2.93	\$14,641.69	
05/31/2016	GERON CORP	374163103	Sell	5,000.000	\$2.96	\$14,791.68	
06/08/2016	GEVO INC COM NEW	374396208	Purchase	500.000	\$1.07	\$542.94	
06/08/2016	GEVO INC COM NEW	374396208	Purchase	1,000.000	\$1.05	\$1,057.99	
06/08/2016	GEVO INC COM NEW	374396208	Purchase	5,000.000	\$1.15	\$5,757.99	
06/08/2016	GEVO INC COM NEW	374396208	Purchase	9,500.000	\$1.07	\$10,165.00	
06/08/2016	GEVO INC COM NEW	374396208	Purchase	10,000.000	\$1.11	\$11,107.99	
06/08/2016	GEVO INC COM NEW	374396208	Sell	200.000	\$1.14	\$227.99	
06/08/2016	GEVO INC COM NEW	374396208	Sell	500.000	\$1.18	\$583.04	
06/08/2016	GEVO INC COM NEW	374396208	Sell	500.000	\$1.17	\$578.04	
06/08/2016	GEVO INC COM NEW	374396208	Sell	800.000	\$1.13	\$896.07	
06/08/2016	GEVO INC COM NEW	374396208	Sell	1,000.000	\$1.07	\$1,064.98	
06/08/2016	GEVO INC COM NEW	374396208	Sell	1,000.000	\$1.14	\$1,135.48	
06/08/2016	GEVO INC COM NEW	374396208	Sell	1,000.000	\$1.19	\$1,181.98	
06/08/2016	GEVO INC COM NEW	374396208	Sell	1,000.000	\$1.21	\$1,201.98	
06/08/2016	GEVO INC COM NEW	374396208	Sell	10,000.000	\$1.05	\$10,491.78	
06/08/2016	GEVO INC COM NEW	374396208	Sell	10,000.000	\$1.05	\$10,491.78	
06/06/2016	HELIOS AND MATHESON ANALYTICS INC	42327L200	Purchase	500.000	\$9.26	\$4,637.99	
06/06/2016	HELIOS AND MATHESON ANALYTICS INC	42327L200	Purchase	500.000	\$9.22	\$4,618.99	
06/06/2016	HELIOS AND MATHESON ANALYTICS INC	42327L200	Sell	100.000	\$9.40	\$931.98	
06/06/2016	HELIOS AND MATHESON ANALYTICS INC	42327L200	Sell	100.000	\$9.30	\$921.98	
06/06/2016	HELIOS AND MATHESON ANALYTICS INC	42327L200	Sell	200.000	\$9.44	\$1,879.96	



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

## 2016 INVESTMENT DETAILS

### DETAILS OF 2016 PURCHASES AND SALES

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Comments
06/06/2016	HELIOS AND MATHESON ANALYTICS INC	42327L200	Sell	200.000	\$9.57	\$1,905.96	
06/06/2016	HELIOS AND MATHESON ANALYTICS INC	42327L200	Sell	200.000	\$9.57	\$1,905.96	
06/06/2016	HELIOS AND MATHESON ANALYTICS INC	42327L200	Sell	200.000	\$9.17	\$1,825.97	
06/07/2016	HELIOS AND MATHESON ANALYTICS INC	42327L200	Purchase	150.000	\$6.67	\$1,000.49	
06/07/2016	HELIOS AND MATHESON ANALYTICS INC	42327L200	Purchase	850.000	\$6.58	\$5,600.99	
06/07/2016	HELIOS AND MATHESON ANALYTICS INC	42327L200	Sell	100.000	\$6.67	\$666.98	
06/07/2016	HELIOS AND MATHESON ANALYTICS INC	42327L200	Sell	100.000	\$6.60	\$651.99	
06/07/2016	HELIOS AND MATHESON ANALYTICS INC	42327L200	Sell	100.000	\$7.18	\$710.17	
06/07/2016	HELIOS AND MATHESON ANALYTICS INC	42327L200	Sell	100.000	\$7.12	\$703.99	
06/07/2016	HELIOS AND MATHESON ANALYTICS INC	42327L200	Sell	200.000	\$6.66	\$1,323.98	
06/07/2016	HELIOS AND MATHESON ANALYTICS INC	42327L200	Sell	200.000	\$6.30	\$1,251.98	
06/07/2016	HELIOS AND MATHESON ANALYTICS INC	42327L200	Sell	200.000	\$6.33	\$1,258.82	
01/07/2016	IDI INC	44938L108	Purchase	1,000.000	\$6.45	\$6,459.99	
01/08/2016	IDI INC	44938L108	Sell	500.000	\$6.00	\$2,990.00	
01/12/2016	IDI INC	44938L108	Sell	500.000	\$5.74	\$2,858.55	
06/30/2016	IMMUNOMEDICS INC	452907108	Purchase	2,000.000	\$2.24	\$4,481.59	
06/30/2016	IMMUNOMEDICS INC	452907108	Sell	1,000.000	\$2.31	\$2,301.95	
07/05/2016	IMMUNOMEDICS INC	452907108	Sell	1,000.000	\$2.34	\$2,332.35	
12/28/2016	LIVE VENTURES INCORPORATED COMMON STOCK	538142308	Purchase	200.000	\$29.84	\$5,975.99	
12/28/2016	LIVE VENTURES INCORPORATED COMMON STOCK	538142308	Purchase	225.000	\$29.85	\$6,716.23	
12/28/2016	LIVE VENTURES INCORPORATED COMMON STOCK	538142308	Purchase	275.000	\$29.93	\$8,230.75	
12/28/2016	LIVE VENTURES INCORPORATED COMMON STOCK	538142308	Purchase	300.000	\$29.87	\$8,961.00	
12/28/2016	LIVE VENTURES INCORPORATED COMMON STOCK	538142308	Sell	500.000	\$30.12	\$15,051.68	
12/28/2016	LIVE VENTURES INCORPORATED COMMON STOCK	538142308	Sell	500.000	\$30.00	\$14,991.73	
01/04/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Purchase	1,700.000	\$0.21	\$363.76	
01/04/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Purchase	8,300.000	\$0.21	\$1,743.00	
01/25/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	4,000.000	\$0.32	\$1,254.78	
01/25/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	4,000.000	\$0.31	\$1,229.98	
01/28/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	100.000	\$0.35	\$24.50	
02/01/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	386.000	\$0.33	\$127.37	
02/01/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	4,814.000	\$0.32	\$1,530.94	
02/02/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	600.000	\$0.33	\$189.80	
02/02/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	5,400.000	\$0.33	\$1,781.96	
02/02/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	6,000.000	\$0.34	\$2,029.97	
02/03/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	400.000	\$0.50	\$200.39	

THIS PAGE IS NOT A SUBSTITUTE FOR FORM 1099 AND IS PROVIDED FOR INFORMATIONAL PURPOSES ONLY



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: [REDACTED] 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

## 2016 INVESTMENT DETAILS

### DETAILS OF 2016 PURCHASES AND SALES

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Comments
02/03/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	500.000	\$0.50	\$250.04	
02/03/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	1,034.000	\$0.51	\$527.33	
02/03/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	1,950.000	\$0.52	\$997.36	
02/03/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	16,116.000	\$0.50	\$8,057.85	
02/03/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	20,000.000	\$0.55	\$10,989.80	
02/04/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Purchase	2,000.000	\$0.26	\$519.99	
02/04/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Purchase	3,000.000	\$0.25	\$774.69	
02/04/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Purchase	5,000.000	\$0.26	\$1,284.99	
02/04/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Purchase	10,000.000	\$0.27	\$2,709.99	
02/05/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Purchase	8,000.000	\$0.20	\$1,617.99	
02/16/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	5,000.000	\$0.26	\$1,303.48	
02/26/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	5,000.000	\$0.23	\$1,139.98	
03/09/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	7,000.000	\$0.27	\$1,880.66	
04/27/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	12,072.000	\$0.28	\$3,370.09	
04/27/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	15,000.000	\$0.28	\$4,189.91	
04/28/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	1,300.000	\$0.32	\$406.00	
04/28/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	10,000.000	\$0.30	\$2,989.94	
04/29/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	300.000	\$0.33	\$98.96	
04/29/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	900.000	\$0.33	\$287.00	
04/29/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	1,000.000	\$0.33	\$315.00	
04/29/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	1,380.000	\$0.33	\$444.99	
04/29/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	3,500.000	\$0.33	\$1,142.18	
04/29/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	4,700.000	\$0.33	\$1,539.56	
04/29/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	4,700.000	\$0.33	\$1,539.56	
04/29/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	5,620.000	\$0.32	\$1,798.92	
05/03/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	6,600.000	\$0.37	\$2,431.95	
05/09/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	84.000	\$0.53	\$34.10	
05/09/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	200.000	\$0.66	\$121.00	
05/09/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	200.000	\$0.52	\$93.02	
05/09/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	300.000	\$0.71	\$201.53	
05/09/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	1,000.000	\$0.65	\$639.99	
05/09/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	3,000.000	\$0.52	\$1,544.96	
05/09/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	3,800.000	\$0.48	\$1,829.54	
05/09/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	6,800.000	\$0.65	\$4,385.90	
05/09/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	6,916.000	\$0.52	\$3,561.66	

THIS PAGE IS NOT A SUBSTITUTE FOR FORM 1099 AND IS PROVIDED FOR INFORMATIONAL PURPOSES ONLY



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: Redacted 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

## 2016 INVESTMENT DETAILS

### DETAILS OF 2016 PURCHASES AND SALES

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Comments
05/09/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	8,700.000	\$0.71	\$6,133.36	
05/09/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	9,000.000	\$0.67	\$5,974.87	
05/10/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	300.000	\$0.82	\$234.95	
05/10/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	1,000.000	\$0.81	\$814.98	
05/10/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	1,487.000	\$0.81	\$1,211.88	
05/10/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	1,800.000	\$0.58	\$1,041.18	
05/10/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	2,400.000	\$0.82	\$1,955.56	
05/10/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	6,600.000	\$0.81	\$5,355.78	
05/10/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	8,200.000	\$0.58	\$4,781.31	
05/10/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	8,213.000	\$0.81	\$6,654.02	
05/10/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	10,000.000	\$0.72	\$7,189.85	
05/10/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	10,000.000	\$0.72	\$7,239.85	
05/10/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	10,000.000	\$0.81	\$8,139.83	
05/10/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	10,000.000	\$0.64	\$6,413.86	
05/10/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	10,000.000	\$0.66	\$6,589.86	
05/10/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	10,000.000	\$0.68	\$6,788.86	
05/10/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	10,000.000	\$0.77	\$7,639.84	
05/10/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	10,000.000	\$0.77	\$7,639.84	
05/10/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	10,000.000	\$0.62	\$6,189.87	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	43.000	\$0.87	\$37.40	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	50.000	\$0.88	\$43.99	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	50.000	\$0.88	\$34.01	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	57.000	\$0.87	\$49.86	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	100.000	\$0.89	\$79.22	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	100.000	\$0.89	\$89.12	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	100.000	\$0.87	\$87.01	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	100.000	\$1.42	\$141.49	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	100.000	\$1.41	\$130.50	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	100.000	\$1.37	\$126.50	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	131.000	\$0.87	\$104.62	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	200.000	\$1.41	\$280.99	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	300.000	\$0.87	\$261.14	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	500.000	\$0.87	\$435.29	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	700.000	\$1.24	\$858.06	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	800.000	\$0.80	\$627.27	

THIS PAGE IS NOT A SUBSTITUTE FOR FORM 1099 AND IS PROVIDED FOR INFORMATIONAL PURPOSES ONLY



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: Redacted 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

## 2016 INVESTMENT DETAILS

### DETAILS OF 2016 PURCHASES AND SALES

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Comments
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	809.000	\$0.88	\$707.90	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	1,000.000	\$0.87	\$870.68	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	1,100.000	\$1.03	\$1,122.98	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	1,200.000	\$0.87	\$1,047.33	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	1,300.000	\$0.91	\$1,173.11	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	1,500.000	\$0.83	\$1,234.98	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	3,500.000	\$0.83	\$2,890.23	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	3,900.000	\$0.87	\$3,393.31	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	4,150.000	\$0.87	\$3,613.74	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	4,200.000	\$0.87	\$3,653.92	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	4,200.000	\$0.80	\$3,338.92	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	4,500.000	\$0.88	\$3,949.92	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	4,700.000	\$1.40	\$6,546.36	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	4,800.000	\$1.36	\$6,503.85	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	5,000.000	\$0.82	\$4,068.92	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	5,000.000	\$1.25	\$6,214.87	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	5,000.000	\$1.34	\$6,664.86	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	5,300.000	\$1.25	\$6,603.12	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	5,700.000	\$0.91	\$5,186.88	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	7,000.000	\$0.98	\$6,849.86	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	7,000.000	\$1.23	\$8,599.82	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	7,000.000	\$0.86	\$6,009.87	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	7,000.000	\$1.15	\$8,039.83	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	7,000.000	\$1.13	\$7,899.83	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	8,900.000	\$1.02	\$9,077.80	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	9,010.000	\$0.87	\$7,844.83	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	9,800.000	\$0.89	\$8,721.80	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	10,000.000	\$0.89	\$8,889.81	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	10,000.000	\$1.03	\$10,289.78	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	10,000.000	\$1.03	\$10,289.78	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	10,000.000	\$1.04	\$10,389.78	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	10,000.000	\$1.06	\$10,589.77	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	10,000.000	\$1.04	\$10,389.78	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	10,000.000	\$0.87	\$8,689.82	
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	10,000.000	\$0.96	\$9,589.80	

THIS PAGE IS NOT A SUBSTITUTE FOR FORM 1099 AND IS PROVIDED FOR INFORMATIONAL PURPOSES ONLY



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

## 2016 INVESTMENT DETAILS

### DETAILS OF 2016 PURCHASES AND SALES

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Comments
05/11/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	17,000.000	\$1.09	\$18,519.60	
05/12/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	1,299.000	\$1.31	\$1,691.66	
05/12/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	1,700.000	\$1.32	\$2,246.16	
05/12/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	3,300.000	\$1.32	\$4,353.50	
05/12/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	3,701.000	\$1.31	\$4,848.20	
05/12/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	5,000.000	\$1.71	\$8,514.82	
05/12/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	5,000.000	\$1.63	\$8,139.83	
05/12/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	5,000.000	\$1.65	\$8,239.83	
05/12/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	5,000.000	\$1.83	\$9,139.81	
05/12/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	5,000.000	\$1.44	\$7,189.85	
05/12/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	5,000.000	\$1.47	\$7,359.84	
05/12/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	5,000.000	\$1.72	\$8,589.82	
05/16/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	1,000.000	\$2.16	\$2,153.16	
05/16/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	3,000.000	\$2.61	\$7,819.83	
05/16/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	3,000.000	\$2.80	\$8,389.82	
05/16/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	3,000.000	\$2.25	\$6,739.86	
05/16/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	7,000.000	\$3.01	\$21,059.55	
05/17/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	99.000	\$3.33	\$329.17	
05/17/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	300.000	\$3.34	\$1,000.47	
05/17/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	600.000	\$3.35	\$2,006.95	
05/17/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	1,000.000	\$3.38	\$3,364.93	
05/17/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	1,000.000	\$3.47	\$3,454.93	
05/17/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	1,000.000	\$3.68	\$3,664.92	
05/17/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	1,000.000	\$4.37	\$4,359.91	
05/17/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	1,001.000	\$3.36	\$3,348.29	
05/17/2016	MGT CAPITAL INVESTMENTS INC	55302P202	Sell	2,000.000	\$3.25	\$6,479.86	
06/13/2016	MARINUS PHARMACEUTICALS INC COM	56854Q101	Purchase	2,400.000	\$1.74	\$4,183.99	
06/13/2016	MARINUS PHARMACEUTICALS INC COM	56854Q101	Purchase	17,600.000	\$1.75	\$30,800.00	
06/14/2016	MARINUS PHARMACEUTICALS INC COM	56854Q101	Purchase	5,000.000	\$1.59	\$7,957.49	
07/06/2016	MARINUS PHARMACEUTICALS INC COM	56854Q101	Sell	700.000	\$1.49	\$1,034.98	
07/06/2016	MARINUS PHARMACEUTICALS INC COM	56854Q101	Sell	1,000.000	\$1.47	\$1,469.96	
07/06/2016	MARINUS PHARMACEUTICALS INC COM	56854Q101	Sell	1,200.000	\$1.48	\$1,775.96	
07/06/2016	MARINUS PHARMACEUTICALS INC COM	56854Q101	Sell	5,000.000	\$1.49	\$7,456.84	
07/06/2016	MARINUS PHARMACEUTICALS INC COM	56854Q101	Sell	5,000.000	\$1.55	\$7,741.84	
07/06/2016	MARINUS PHARMACEUTICALS INC COM	56854Q101	Sell	7,100.000	\$1.46	\$10,365.77	

THIS PAGE IS NOT A SUBSTITUTE FOR FORM 1099 AND IS PROVIDED FOR INFORMATIONAL PURPOSES ONLY



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

## 2016 INVESTMENT DETAILS

### DETAILS OF 2016 PURCHASES AND SALES

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Comments
07/07/2016	MARINUS PHARMACEUTICALS INC COM	56854Q101	Sell	5,000.000	\$1.68	\$8,376.82	
03/30/2016	NOTIS GLOBAL INC COM	66980B100	Purchase	7,000.000	\$0.01	\$86.29	
05/16/2016	NOTIS GLOBAL INC COM	66980B100	Sell	7,000.000	\$0.01	\$42.50	
06/07/2016	PERNIX THERAPEUTICS HOLDINGS INC	71426V108	Purchase	538.000	\$0.59	\$320.11	
06/07/2016	PERNIX THERAPEUTICS HOLDINGS INC	71426V108	Purchase	9,462.000	\$0.56	\$5,354.02	
06/07/2016	PERNIX THERAPEUTICS HOLDINGS INC	71426V108	Purchase	10,000.000	\$0.59	\$5,957.99	
06/07/2016	PERNIX THERAPEUTICS HOLDINGS INC	71426V108	Purchase	10,000.000	\$0.58	\$5,857.99	
06/08/2016	PERNIX THERAPEUTICS HOLDINGS INC	71426V108	Purchase	100.000	\$0.53	\$52.96	
06/08/2016	PERNIX THERAPEUTICS HOLDINGS INC	71426V108	Purchase	500.000	\$0.53	\$263.15	
06/08/2016	PERNIX THERAPEUTICS HOLDINGS INC	71426V108	Purchase	700.000	\$0.53	\$376.33	
06/08/2016	PERNIX THERAPEUTICS HOLDINGS INC	71426V108	Purchase	2,500.000	\$0.53	\$1,317.50	
06/08/2016	PERNIX THERAPEUTICS HOLDINGS INC	71426V108	Purchase	6,200.000	\$0.53	\$3,284.14	
06/16/2016	PERNIX THERAPEUTICS HOLDINGS INC	71426V108	Sell	500.000	\$0.60	\$287.25	
06/16/2016	PERNIX THERAPEUTICS HOLDINGS INC	71426V108	Sell	850.000	\$0.60	\$501.57	
06/16/2016	PERNIX THERAPEUTICS HOLDINGS INC	71426V108	Sell	10,000.000	\$0.59	\$5,841.88	
06/16/2016	PERNIX THERAPEUTICS HOLDINGS INC	71426V108	Sell	10,000.000	\$0.59	\$5,840.88	
07/08/2016	PERNIX THERAPEUTICS HOLDINGS INC	71426V108	Sell	5,000.000	\$0.54	\$2,704.95	
07/08/2016	PERNIX THERAPEUTICS HOLDINGS INC	71426V108	Sell	8,650.000	\$0.52	\$4,507.21	
07/11/2016	PERNIX THERAPEUTICS HOLDINGS INC	71426V108	Sell	5,000.000	\$0.62	\$3,071.94	
08/16/2016	STEMCELLS INC COM PAR \$0.01	85857R303	Purchase	100.000	\$2.24	\$231.99	
08/16/2016	STEMCELLS INC COM PAR \$0.01	85857R303	Purchase	500.000	\$2.56	\$1,287.99	
08/16/2016	STEMCELLS INC COM PAR \$0.01	85857R303	Purchase	500.000	\$2.49	\$1,251.99	
08/16/2016	STEMCELLS INC COM PAR \$0.01	85857R303	Purchase	900.000	\$2.25	\$2,024.91	
08/16/2016	STEMCELLS INC COM PAR \$0.01	85857R303	Purchase	1,000.000	\$2.79	\$2,797.99	
08/16/2016	STEMCELLS INC COM PAR \$0.01	85857R303	Sell	500.000	\$2.78	\$1,381.97	
08/16/2016	STEMCELLS INC COM PAR \$0.01	85857R303	Sell	500.000	\$2.24	\$1,110.98	
08/16/2016	STEMCELLS INC COM PAR \$0.01	85857R303	Sell	500.000	\$2.26	\$1,119.98	
08/16/2016	STEMCELLS INC COM PAR \$0.01	85857R303	Sell	500.000	\$2.24	\$1,110.98	
08/16/2016	STEMCELLS INC COM PAR \$0.01	85857R303	Sell	500.000	\$2.86	\$1,420.97	
08/16/2016	STEMCELLS INC COM PAR \$0.01	85857R303	Sell	500.000	\$2.65	\$1,317.98	
08/17/2016	STEMCELLS INC COM PAR \$0.01	85857R303	Purchase	1,000.000	\$1.67	\$1,682.99	
08/17/2016	STEMCELLS INC COM PAR \$0.01	85857R303	Sell	100.000	\$1.88	\$187.49	
08/17/2016	STEMCELLS INC COM PAR \$0.01	85857R303	Sell	400.000	\$1.89	\$745.99	
08/17/2016	STEMCELLS INC COM PAR \$0.01	85857R303	Sell	500.000	\$2.11	\$1,044.48	
05/16/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	1,000.000	\$26.97	\$26,979.99	

THIS PAGE IS NOT A SUBSTITUTE FOR FORM 1099 AND IS PROVIDED FOR INFORMATIONAL PURPOSES ONLY



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: Redacted 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

## 2016 INVESTMENT DETAILS

### DETAILS OF 2016 PURCHASES AND SALES

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Comments
05/16/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	1,000.000	\$26.88	\$26,889.99	
05/16/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	1,000.000	\$26.96	\$26,968.79	
05/16/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	1,000.000	\$26.80	\$26,809.89	
05/16/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	1,000.000	\$26.98	\$26,969.42	
05/16/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	1,000.000	\$27.01	\$26,999.42	
05/16/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	2,000.000	\$26.94	\$53,868.83	
05/20/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$27.12	\$13,569.94	
05/20/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	1,000.000	\$26.97	\$26,979.99	
05/20/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	500.000	\$27.09	\$13,534.71	
05/20/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	500.000	\$27.09	\$13,532.76	
05/20/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	500.000	\$27.29	\$13,634.71	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	100.000	\$24.94	\$2,493.99	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	200.000	\$25.34	\$5,076.01	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	200.000	\$25.05	\$5,017.39	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	300.000	\$25.05	\$7,515.00	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$24.36	\$12,189.59	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$24.29	\$12,153.04	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$24.09	\$12,052.99	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$25.10	\$12,557.99	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$25.30	\$12,657.99	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$24.48	\$12,247.49	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$24.48	\$12,247.49	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$24.47	\$12,242.49	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$24.67	\$12,342.99	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$24.64	\$12,329.49	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$24.66	\$12,336.29	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$24.50	\$12,257.99	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$25.21	\$12,614.59	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$25.26	\$12,636.29	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$25.25	\$12,632.49	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$25.04	\$12,527.49	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$25.07	\$12,544.59	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$25.09	\$12,555.49	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$25.44	\$12,727.94	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$25.50	\$12,757.94	Closing Purchase

THIS PAGE IS NOT A SUBSTITUTE FOR FORM 1099 AND IS PROVIDED FOR INFORMATIONAL PURPOSES ONLY



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: [REDACTED] 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

## 2016 INVESTMENT DETAILS

### DETAILS OF 2016 PURCHASES AND SALES

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Comments
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$25.47	\$12,744.99	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$25.45	\$12,732.99	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$25.35	\$12,682.94	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$25.22	\$12,617.89	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$25.16	\$12,587.99	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$24.90	\$12,457.94	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$24.77	\$12,392.99	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$24.77	\$12,393.04	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$24.79	\$12,403.04	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$24.79	\$12,403.04	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	500.000	\$24.86	\$12,437.99	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	900.000	\$24.93	\$22,445.08	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	1,000.000	\$25.12	\$25,124.99	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	1,000.000	\$24.77	\$24,777.79	Closing Purchase
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	2,000.000	\$25.12	\$50,252.99	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	2,000.000	\$25.11	\$50,227.79	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	2,000.000	\$25.07	\$50,141.59	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	2,800.000	\$25.37	\$71,035.03	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	3,000.000	\$25.28	\$75,857.89	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	3,000.000	\$25.14	\$75,427.99	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	80.000	\$24.02	\$1,921.35	Opening Sell
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	100.000	\$25.19	\$2,510.95	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	100.000	\$25.18	\$2,517.95	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	100.000	\$23.41	\$2,332.96	Opening Sell
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	100.000	\$24.03	\$2,402.94	Opening Sell
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	100.000	\$25.10	\$2,501.95	Opening Sell
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	120.000	\$24.03	\$2,883.52	Opening Sell
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	200.000	\$25.09	\$5,009.92	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	200.000	\$25.06	\$5,003.92	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	200.000	\$25.22	\$5,035.92	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	200.000	\$24.09	\$4,810.90	Opening Sell
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	200.000	\$24.80	\$4,952.90	Opening Sell
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	201.000	\$25.24	\$5,073.12	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	299.000	\$25.25	\$7,541.59	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	300.000	\$25.20	\$7,561.33	



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: [REDACTED] 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

## 2016 INVESTMENT DETAILS

### DETAILS OF 2016 PURCHASES AND SALES

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Comments
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	300.000	\$25.09	\$7,526.83	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	300.000	\$25.06	\$7,517.83	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	300.000	\$25.22	\$7,565.83	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	300.000	\$24.80	\$7,439.86	Opening Sell
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	400.000	\$25.09	\$10,037.78	Opening Sell
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	500.000	\$25.22	\$12,601.73	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	500.000	\$25.28	\$12,631.73	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	500.000	\$25.20	\$12,594.23	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	500.000	\$25.34	\$12,661.78	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	500.000	\$25.06	\$12,520.13	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	500.000	\$25.04	\$12,511.73	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	500.000	\$25.18	\$12,579.73	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	500.000	\$25.21	\$12,596.78	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	500.000	\$25.49	\$12,735.73	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	500.000	\$25.63	\$12,808.43	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	500.000	\$25.00	\$12,493.43	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	500.000	\$25.01	\$12,496.78	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	500.000	\$25.00	\$12,493.43	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	500.000	\$25.06	\$12,521.83	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	500.000	\$24.86	\$12,421.78	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	500.000	\$24.77	\$12,378.23	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	500.000	\$24.86	\$12,421.73	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	500.000	\$24.87	\$12,428.43	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	500.000	\$24.45	\$12,218.24	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	500.000	\$24.55	\$12,268.44	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	500.000	\$25.37	\$12,676.73	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	500.000	\$23.56	\$11,772.25	Opening Sell
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	500.000	\$23.74	\$11,861.80	Opening Sell
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	500.000	\$24.14	\$12,062.24	Opening Sell
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	500.000	\$24.19	\$12,086.79	Opening Sell
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	500.000	\$24.78	\$12,381.78	Opening Sell
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	500.000	\$25.22	\$12,602.23	Opening Sell
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	500.000	\$25.36	\$12,672.23	Opening Sell
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	900.000	\$23.41	\$21,060.64	Opening Sell
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	1,000.000	\$25.31	\$25,304.85	

THIS PAGE IS NOT A SUBSTITUTE FOR FORM 1099 AND IS PROVIDED FOR INFORMATIONAL PURPOSES ONLY



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: Redacted 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

## 2016 INVESTMENT DETAILS

### DETAILS OF 2016 PURCHASES AND SALES

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Comments
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	1,000.000	\$25.03	\$25,021.46	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	1,000.000	\$25.45	\$25,441.45	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	1,000.000	\$25.47	\$25,461.45	
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	1,000.000	\$24.96	\$24,948.96	Opening Sell
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	2,000.000	\$25.04	\$50,071.11	Opening Sell
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	2,000.000	\$25.58	\$51,152.89	Opening Sell
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	2,000.000	\$25.36	\$50,712.90	Opening Sell
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	2,000.000	\$24.90	\$49,790.92	Opening Sell
06/07/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	2,000.000	\$24.91	\$49,812.92	Opening Sell
06/23/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	700.000	\$21.89	\$15,330.99	
06/23/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	300.000	\$22.22	\$6,658.91	
06/24/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	400.000	\$21.22	\$8,495.99	
06/24/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	400.000	\$20.30	\$8,127.95	
06/24/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	400.000	\$20.49	\$8,187.83	
06/24/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	400.000	\$20.27	\$8,097.83	
06/24/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	400.000	\$20.48	\$8,185.51	
08/11/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	20.000	\$25.20	\$511.97	
08/11/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	20.000	\$25.20	\$511.94	
08/11/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	50.000	\$24.38	\$1,226.99	Closing Purchase
08/11/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	50.000	\$24.55	\$1,235.44	Closing Purchase
08/11/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	100.000	\$24.46	\$2,454.00	Closing Purchase
08/11/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	120.000	\$24.99	\$3,006.79	
08/11/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	120.000	\$25.03	\$3,011.59	
08/11/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	200.000	\$25.70	\$5,147.99	
08/11/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	120.000	\$25.10	\$3,004.36	
08/11/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	120.000	\$25.08	\$3,001.54	
08/11/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	200.000	\$24.86	\$4,963.90	Opening Sell
08/11/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	240.000	\$24.91	\$5,971.11	
08/17/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	100.000	\$29.79	\$2,986.99	Closing Purchase
08/17/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	100.000	\$29.86	\$2,993.64	Closing Purchase
08/17/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	200.000	\$29.90	\$5,987.99	Closing Purchase
08/17/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	200.000	\$30.09	\$6,008.87	Opening Sell
08/17/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	200.000	\$30.08	\$6,008.07	Opening Sell
08/18/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	100.000	\$30.76	\$3,083.99	Closing Purchase
08/18/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	100.000	\$30.79	\$3,087.29	Closing Purchase



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: [REDACTED] 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

## 2016 INVESTMENT DETAILS

### DETAILS OF 2016 PURCHASES AND SALES

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Comments
08/18/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	200.000	\$30.38	\$6,083.29	
08/18/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	200.000	\$29.95	\$5,997.79	
08/18/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	200.000	\$28.81	\$5,769.59	
08/18/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	200.000	\$30.70	\$6,147.99	Closing Purchase
08/18/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	100.000	\$31.27	\$3,118.44	Opening Sell
08/18/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	100.000	\$31.36	\$3,127.44	Opening Sell
08/18/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	100.000	\$30.88	\$3,079.44	Opening Sell
08/18/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	100.000	\$30.86	\$3,077.94	Opening Sell
08/18/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	200.000	\$29.65	\$5,922.08	
08/18/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	200.000	\$28.92	\$5,775.88	
08/18/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	200.000	\$30.46	\$6,083.87	
08/22/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	100.000	\$30.63	\$3,070.99	Closing Purchase
08/22/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	200.000	\$31.25	\$6,258.99	Closing Purchase
08/22/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	100.000	\$31.15	\$3,107.04	Opening Sell
08/22/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	200.000	\$30.98	\$6,188.07	Opening Sell
08/23/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	200.000	\$31.10	\$6,227.99	Closing Purchase
08/23/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	200.000	\$31.58	\$6,307.87	Opening Sell
08/24/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	100.000	\$32.24	\$3,231.98	Closing Purchase
08/24/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	100.000	\$32.17	\$3,224.99	Closing Purchase
08/24/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	200.000	\$30.51	\$6,109.83	
08/24/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	200.000	\$30.58	\$6,123.99	Closing Purchase
08/24/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	200.000	\$30.30	\$6,052.07	
08/24/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	200.000	\$31.97	\$6,385.87	Opening Sell
08/24/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	200.000	\$30.33	\$6,057.87	Opening Sell
08/29/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	200.000	\$30.33	\$6,073.79	
08/29/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	200.000	\$30.28	\$6,063.79	
08/29/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	200.000	\$30.51	\$6,109.99	Closing Purchase
08/29/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	200.000	\$30.38	\$6,083.99	Closing Purchase
08/29/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	100.000	\$30.68	\$3,059.94	Opening Sell
08/29/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	300.000	\$30.69	\$9,198.80	Opening Sell
08/29/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Sell	400.000	\$30.44	\$12,167.74	
11/08/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Purchase	1,000.000	\$15.40	\$15,407.99	Closing Purchase
11/08/2016	***VALEANT PHARMACEUTICALS INTERNATIONAL	91911K102	Short Sell	1,000.000	\$15.61	\$15,602.66	Opening Sell
04/29/2016	VENAXIS INC COM NEW	92262A206	Purchase	500.000	\$2.99	\$1,507.19	
04/29/2016	VENAXIS INC COM NEW	92262A206	Purchase	2,500.000	\$2.99	\$7,485.00	

THIS PAGE IS NOT A SUBSTITUTE FOR FORM 1099 AND IS PROVIDED FOR INFORMATIONAL PURPOSES ONLY



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092  
Account Executive No: ET1  
ORIGINAL: 12/31/2016

## 2016 INVESTMENT DETAILS

### DETAILS OF 2016 PURCHASES AND SALES

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Comments
05/10/2016	VENAXIS INC COM NEW	92262A206	Purchase	3,000.000	\$2.77	\$8,319.69	
05/11/2016	VENAXIS INC COM NEW	92262A206	Purchase	6.000	\$3.11	\$28.65	
05/11/2016	VENAXIS INC COM NEW	92262A206	Purchase	400.000	\$3.10	\$1,240.04	
05/11/2016	VENAXIS INC COM NEW	92262A206	Purchase	594.000	\$3.12	\$1,853.28	
05/11/2016	VENAXIS INC COM NEW	92262A206	Purchase	5,000.000	\$3.12	\$15,599.50	
05/11/2016	VENAXIS INC COM NEW	92262A206	Purchase	5,700.000	\$3.10	\$17,679.99	
05/16/2016	VENAXIS INC COM NEW	92262A206	Purchase	1.000	\$3.27	\$13.26	
05/16/2016	VENAXIS INC COM NEW	92262A206	Purchase	25.000	\$3.54	\$98.49	
05/16/2016	VENAXIS INC COM NEW	92262A206	Purchase	100.000	\$3.58	\$358.00	
05/16/2016	VENAXIS INC COM NEW	92262A206	Purchase	103.000	\$3.34	\$354.01	
05/16/2016	VENAXIS INC COM NEW	92262A206	Purchase	117.000	\$3.51	\$410.34	
05/16/2016	VENAXIS INC COM NEW	92262A206	Purchase	200.000	\$3.34	\$677.99	
05/16/2016	VENAXIS INC COM NEW	92262A206	Purchase	247.000	\$3.32	\$820.04	
05/16/2016	VENAXIS INC COM NEW	92262A206	Purchase	300.000	\$3.34	\$1,002.99	
05/16/2016	VENAXIS INC COM NEW	92262A206	Purchase	300.000	\$3.53	\$1,068.96	
05/16/2016	VENAXIS INC COM NEW	92262A206	Purchase	300.000	\$3.59	\$1,077.00	
05/16/2016	VENAXIS INC COM NEW	92262A206	Purchase	300.000	\$3.57	\$1,070.94	
05/16/2016	VENAXIS INC COM NEW	92262A206	Purchase	300.000	\$3.60	\$1,080.00	
05/16/2016	VENAXIS INC COM NEW	92262A206	Purchase	483.000	\$3.50	\$1,700.49	
05/16/2016	VENAXIS INC COM NEW	92262A206	Purchase	1,517.000	\$3.58	\$5,440.85	
05/16/2016	VENAXIS INC COM NEW	92262A206	Purchase	2,100.000	\$3.60	\$7,559.79	
05/16/2016	VENAXIS INC COM NEW	92262A206	Purchase	2,500.000	\$3.38	\$8,450.00	
05/16/2016	VENAXIS INC COM NEW	92262A206	Purchase	2,563.000	\$3.34	\$8,570.41	
05/16/2016	VENAXIS INC COM NEW	92262A206	Purchase	2,700.000	\$3.53	\$9,531.00	
05/16/2016	VENAXIS INC COM NEW	92262A206	Purchase	2,875.000	\$3.59	\$10,320.96	
05/16/2016	VENAXIS INC COM NEW	92262A206	Purchase	2,900.000	\$3.31	\$9,617.69	
05/16/2016	VENAXIS INC COM NEW	92262A206	Purchase	3,000.000	\$3.34	\$10,029.69	
05/16/2016	VENAXIS INC COM NEW	92262A206	Purchase	3,000.000	\$3.40	\$10,209.69	
05/16/2016	VENAXIS INC COM NEW	92262A206	Purchase	3,000.000	\$3.55	\$10,653.99	
05/16/2016	VENAXIS INC COM NEW	92262A206	Purchase	4,752.000	\$3.32	\$15,776.16	
05/16/2016	VENAXIS INC COM NEW	92262A206	Purchase	5,000.000	\$3.36	\$16,809.49	
05/17/2016	VENAXIS INC COM NEW	92262A206	Purchase	175.000	\$4.04	\$716.99	
05/17/2016	VENAXIS INC COM NEW	92262A206	Purchase	300.000	\$3.96	\$1,188.00	
05/17/2016	VENAXIS INC COM NEW	92262A206	Purchase	1,000.000	\$4.08	\$4,094.99	
05/17/2016	VENAXIS INC COM NEW	92262A206	Purchase	1,000.000	\$4.05	\$4,055.19	

THIS PAGE IS NOT A SUBSTITUTE FOR FORM 1099 AND IS PROVIDED FOR INFORMATIONAL PURPOSES ONLY



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: **8290**  
Account Name: **ROBERT B LADD**  
Taxpayer Identification Number: **\*\*\*-\*\*-0092**

Account Executive No: **ET1**

ORIGINAL: **12/31/2016**

## 2016 INVESTMENT DETAILS

### DETAILS OF 2016 PURCHASES AND SALES

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Comments
05/17/2016	VENAXIS INC COM NEW	92262A206	Purchase	2,700.000	\$4.00	\$10,823.49	
05/17/2016	VENAXIS INC COM NEW	92262A206	Purchase	3,000.000	\$3.99	\$11,979.99	
05/17/2016	VENAXIS INC COM NEW	92262A206	Purchase	3,000.000	\$4.09	\$12,294.99	
05/17/2016	VENAXIS INC COM NEW	92262A206	Purchase	5,000.000	\$3.88	\$19,409.99	
05/17/2016	VENAXIS INC COM NEW	92262A206	Purchase	9,825.000	\$4.05	\$39,791.25	
05/25/2016	VENAXIS INC COM NEW	92262A206	Purchase	1,104.000	\$3.28	\$3,631.11	
05/25/2016	VENAXIS INC COM NEW	92262A206	Purchase	3,000.000	\$3.22	\$9,662.89	
05/25/2016	VENAXIS INC COM NEW	92262A206	Purchase	5,896.000	\$3.29	\$19,397.25	
05/25/2016	VENAXIS INC COM NEW	92262A206	Purchase	7,000.000	\$3.27	\$22,934.99	
05/25/2016	VENAXIS INC COM NEW	92262A206	Purchase	7,000.000	\$3.28	\$22,982.69	
06/09/2016	VENAXIS INC COM NEW	92262A206	Sell	2,800.000	\$3.70	\$10,351.78	
08/02/2016	VENAXIS INC COM NEW	92262A206	Sell	105.000	\$3.30	\$338.50	
08/02/2016	VENAXIS INC COM NEW	92262A206	Sell	1,000.000	\$3.31	\$3,299.43	
08/02/2016	VENAXIS INC COM NEW	92262A206	Sell	1,000.000	\$3.31	\$3,305.13	
08/03/2016	VENAXIS INC COM NEW	92262A206	Sell	1,000.000	\$3.28	\$3,267.13	
08/03/2016	VENAXIS INC COM NEW	92262A206	Sell	1,478.000	\$3.26	\$4,811.95	
08/08/2016	VENAXIS INC COM NEW	92262A206	Sell	1,000.000	\$3.25	\$3,246.93	
08/08/2016	VENAXIS INC COM NEW	92262A206	Sell	1,000.000	\$3.20	\$3,190.74	
08/08/2016	VENAXIS INC COM NEW	92262A206	Sell	1,000.000	\$3.22	\$3,211.93	
08/08/2016	VENAXIS INC COM NEW	92262A206	Sell	3,000.000	\$3.20	\$9,602.60	
08/10/2016	VENAXIS INC COM NEW	92262A206	Sell	1,000.000	\$3.13	\$3,126.94	
08/25/2016	VENAXIS INC COM NEW	92262A206	Sell	1,000.000	\$3.30	\$3,291.93	
08/25/2016	VENAXIS INC COM NEW	92262A206	Sell	1,000.000	\$3.25	\$3,242.93	
08/29/2016	VENAXIS INC COM NEW	92262A206	Sell	307.000	\$3.50	\$1,074.50	
08/29/2016	VENAXIS INC COM NEW	92262A206	Sell	500.000	\$3.52	\$1,758.71	
08/29/2016	VENAXIS INC COM NEW	92262A206	Sell	600.000	\$3.51	\$2,097.00	
08/29/2016	VENAXIS INC COM NEW	92262A206	Sell	1,400.000	\$3.51	\$4,910.39	
08/29/2016	VENAXIS INC COM NEW	92262A206	Sell	1,500.000	\$3.51	\$5,257.04	
08/29/2016	VENAXIS INC COM NEW	92262A206	Sell	1,693.000	\$3.51	\$5,934.31	
08/29/2016	VENAXIS INC COM NEW	92262A206	Sell	2,000.000	\$3.51	\$7,012.05	
08/29/2016	VENAXIS INC COM NEW	92262A206	Sell	2,000.000	\$3.50	\$7,001.85	
08/30/2016	VENAXIS INC COM NEW	92262A206	Sell	204.000	\$3.65	\$736.59	
08/30/2016	VENAXIS INC COM NEW	92262A206	Sell	1,000.000	\$3.61	\$3,599.93	
08/30/2016	VENAXIS INC COM NEW	92262A206	Sell	1,000.000	\$3.61	\$3,599.93	
08/30/2016	VENAXIS INC COM NEW	92262A206	Sell	1,000.000	\$3.61	\$3,598.53	



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092  
Account Executive No: ET1  
ORIGINAL: 12/31/2016

## 2016 INVESTMENT DETAILS

## DETAILS OF 2016 PURCHASES AND SALES

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Comments
08/30/2016	VENAXIS INC COM NEW	92262A206	Sell	1,000.000	\$3.64	\$3,629.93	
08/31/2016	VENAXIS INC COM NEW	92262A206	Sell	100.000	\$3.68	\$367.77	
08/31/2016	VENAXIS INC COM NEW	92262A206	Sell	570.000	\$3.65	\$2,072.52	
08/31/2016	VENAXIS INC COM NEW	92262A206	Sell	1,000.000	\$3.64	\$3,631.93	
08/31/2016	VENAXIS INC COM NEW	92262A206	Sell	1,126.000	\$3.64	\$4,098.55	
09/01/2016	VENAXIS INC COM NEW	92262A206	Sell	700.000	\$3.81	\$2,670.09	
09/01/2016	VENAXIS INC COM NEW	92262A206	Sell	1,000.000	\$3.79	\$3,779.92	
09/01/2016	VENAXIS INC COM NEW	92262A206	Sell	1,000.000	\$3.79	\$3,781.92	
09/01/2016	VENAXIS INC COM NEW	92262A206	Sell	1,000.000	\$3.83	\$3,821.92	
09/01/2016	VENAXIS INC COM NEW	92262A206	Sell	1,300.000	\$3.82	\$4,955.82	
09/01/2016	VENAXIS INC COM NEW	92262A206	Sell	3,000.000	\$3.81	\$11,425.36	
09/13/2016	VENAXIS INC COM NEW	92262A206	Sell	100.000	\$4.43	\$442.99	
09/13/2016	VENAXIS INC COM NEW	92262A206	Sell	200.000	\$4.41	\$874.59	
09/14/2016	VENAXIS INC COM NEW	92262A206	Purchase	1,100.000	\$3.86	\$4,251.24	
09/14/2016	VENAXIS INC COM NEW	92262A206	Purchase	1,900.000	\$3.84	\$7,300.75	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	1.000	\$3.90	-	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	1.000	\$3.75	\$3.74	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	23.000	\$3.69	\$84.86	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	40.000	\$3.62	\$144.79	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	100.000	\$3.63	\$362.99	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	100.000	\$3.70	\$370.19	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	100.000	\$3.80	\$380.16	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	100.000	\$3.71	\$363.00	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	100.000	\$3.72	\$371.99	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	100.000	\$3.82	\$374.00	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	101.000	\$3.80	\$379.69	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	200.000	\$4.07	\$813.32	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	200.000	\$3.71	\$742.98	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	200.000	\$3.71	\$733.59	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	200.000	\$3.70	\$740.18	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	200.000	\$3.74	\$747.98	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	200.000	\$3.80	\$752.19	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	300.000	\$3.60	\$1,079.97	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	300.000	\$3.70	\$1,110.27	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	365.000	\$3.58	\$1,306.67	



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

## 2016 INVESTMENT DETAILS

### DETAILS OF 2016 PURCHASES AND SALES

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Comments
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	400.000	\$4.01	\$1,596.37	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	400.000	\$3.46	\$1,383.96	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	400.000	\$3.58	\$1,432.36	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	400.000	\$3.72	\$1,488.36	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	499.000	\$3.71	\$1,851.24	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	535.000	\$3.76	\$2,012.46	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	600.000	\$3.70	\$2,219.95	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	600.000	\$3.60	\$2,159.95	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	600.000	\$3.85	\$2,309.94	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	600.000	\$3.73	\$2,229.96	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	700.000	\$3.53	\$2,471.01	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	800.000	\$3.85	\$3,075.93	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	900.000	\$3.65	\$3,284.92	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	900.000	\$3.91	\$3,520.45	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	935.000	\$3.66	\$3,414.03	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	1,500.000	\$3.86	\$5,781.88	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	1,800.000	\$3.72	\$6,695.85	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	2,100.000	\$3.70	\$7,769.83	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	2,400.000	\$4.01	\$9,624.03	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	2,500.000	\$3.72	\$9,291.80	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	2,600.000	\$3.78	\$9,819.20	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	2,700.000	\$3.74	\$10,083.04	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	2,900.000	\$3.80	\$11,019.75	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	3,000.000	\$3.86	\$11,571.75	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	3,000.000	\$3.81	\$11,406.76	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	3,000.000	\$3.68	\$11,022.76	
09/14/2016	VENAXIS INC COM NEW	92262A206	Sell	3,000.000	\$3.75	\$11,256.76	
09/15/2016	VENAXIS INC COM NEW	92262A206	Sell	100.000	\$4.26	\$418.00	
09/15/2016	VENAXIS INC COM NEW	92262A206	Sell	100.000	\$4.17	\$416.99	
09/15/2016	VENAXIS INC COM NEW	92262A206	Sell	100.000	\$4.20	\$419.49	
09/15/2016	VENAXIS INC COM NEW	92262A206	Sell	200.000	\$4.03	\$797.99	
09/15/2016	VENAXIS INC COM NEW	92262A206	Sell	200.000	\$4.02	\$803.98	
09/15/2016	VENAXIS INC COM NEW	92262A206	Sell	200.000	\$4.23	\$837.99	
09/15/2016	VENAXIS INC COM NEW	92262A206	Sell	300.000	\$4.24	\$1,271.97	
09/15/2016	VENAXIS INC COM NEW	92262A206	Sell	400.000	\$4.02	\$1,608.36	

THIS PAGE IS NOT A SUBSTITUTE FOR FORM 1099 AND IS PROVIDED FOR INFORMATIONAL PURPOSES ONLY



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

## 2016 INVESTMENT DETAILS

### DETAILS OF 2016 PURCHASES AND SALES

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Comments
09/15/2016	VENAXIS INC COM NEW	92262A206	Sell	400.000	\$4.24	\$1,687.97	
09/15/2016	VENAXIS INC COM NEW	92262A206	Sell	600.000	\$4.32	\$2,594.34	
09/15/2016	VENAXIS INC COM NEW	92262A206	Sell	600.000	\$4.32	\$2,594.34	
09/15/2016	VENAXIS INC COM NEW	92262A206	Sell	700.000	\$4.15	\$2,904.93	
09/15/2016	VENAXIS INC COM NEW	92262A206	Sell	900.000	\$4.15	\$3,726.92	
09/15/2016	VENAXIS INC COM NEW	92262A206	Sell	4,200.000	\$4.01	\$16,841.63	
09/15/2016	VENAXIS INC COM NEW	92262A206	Sell	5,000.000	\$4.08	\$20,388.06	
09/15/2016	VENAXIS INC COM NEW	92262A206	Sell	5,000.000	\$4.08	\$20,388.06	
09/15/2016	VENAXIS INC COM NEW	92262A206	Sell	5,000.000	\$4.08	\$20,388.06	
09/19/2016	VENAXIS INC COM NEW	92262A206	Sell	500.000	\$4.45	\$2,216.96	
12/01/2016	VENAXIS INC COM NEW	92262A206	Sell	400.000	\$5.29	\$2,107.96	
12/05/2016	VENAXIS INC COM NEW	92262A206	Sell	100.000	\$4.14	\$405.60	
09/19/2016	WORKHORSE GROUP INC COM	98138J206	Purchase	1,000.000	\$9.89	\$9,896.99	
10/03/2016	WORKHORSE GROUP INC COM	98138J206	Sell	800.000	\$6.67	\$5,329.49	
10/10/2016	WORKHORSE GROUP INC COM	98138J206	Sell	200.000	\$7.32	\$1,455.97	
06/02/2016	ZIOPHARM ONCOLOGY INC	98973P101	Purchase	700.000	\$7.78	\$5,445.93	
06/02/2016	ZIOPHARM ONCOLOGY INC	98973P101	Purchase	1,300.000	\$7.78	\$10,115.49	
06/02/2016	ZIOPHARM ONCOLOGY INC	98973P101	Purchase	8,000.000	\$7.78	\$62,240.00	
06/02/2016	ZIOPHARM ONCOLOGY INC	98973P101	Sell	200.000	\$7.85	\$1,561.97	
06/02/2016	ZIOPHARM ONCOLOGY INC	98973P101	Sell	200.000	\$7.84	\$1,568.96	
06/02/2016	ZIOPHARM ONCOLOGY INC	98973P101	Sell	500.000	\$7.85	\$3,918.67	
06/02/2016	ZIOPHARM ONCOLOGY INC	98973P101	Sell	500.000	\$7.85	\$3,918.67	
06/02/2016	ZIOPHARM ONCOLOGY INC	98973P101	Sell	500.000	\$7.85	\$3,916.92	
06/02/2016	ZIOPHARM ONCOLOGY INC	98973P101	Sell	600.000	\$7.84	\$4,703.95	
06/02/2016	ZIOPHARM ONCOLOGY INC	98973P101	Sell	1,000.000	\$7.84	\$7,833.93	
06/02/2016	ZIOPHARM ONCOLOGY INC	98973P101	Sell	2,000.000	\$7.80	\$15,586.67	
06/02/2016	ZIOPHARM ONCOLOGY INC	98973P101	Sell	2,000.000	\$7.76	\$15,506.67	
06/02/2016	ZIOPHARM ONCOLOGY INC	98973P101	Sell	2,000.000	\$7.81	\$15,617.26	
06/03/2016	ZIOPHARM ONCOLOGY INC	98973P101	Purchase	300.000	\$7.30	\$2,190.00	
06/03/2016	ZIOPHARM ONCOLOGY INC	98973P101	Purchase	700.000	\$7.31	\$5,124.92	
06/03/2016	ZIOPHARM ONCOLOGY INC	98973P101	Purchase	1,000.000	\$7.33	\$7,337.89	
06/03/2016	ZIOPHARM ONCOLOGY INC	98973P101	Purchase	1,000.000	\$7.29	\$7,295.89	
06/06/2016	ZIOPHARM ONCOLOGY INC	98973P101	Purchase	500.000	\$7.23	\$3,622.94	
06/06/2016	ZIOPHARM ONCOLOGY INC	98973P101	Sell	500.000	\$7.31	\$3,646.93	
06/06/2016	ZIOPHARM ONCOLOGY INC	98973P101	Sell	500.000	\$7.22	\$3,603.68	

THIS PAGE IS NOT A SUBSTITUTE FOR FORM 1099 AND IS PROVIDED FOR INFORMATIONAL PURPOSES ONLY



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: Redacted 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

## 2016 INVESTMENT DETAILS

### DETAILS OF 2016 PURCHASES AND SALES

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Comments
06/06/2016	ZIOPHARM ONCOLOGY INC	98973P101	Sell	500.000	\$7.35	\$3,666.92	
06/06/2016	ZIOPHARM ONCOLOGY INC	98973P101	Sell	500.000	\$7.32	\$3,651.93	
06/06/2016	ZIOPHARM ONCOLOGY INC	98973P101	Sell	500.000	\$7.31	\$3,648.68	
06/06/2016	ZIOPHARM ONCOLOGY INC	98973P101	Sell	500.000	\$7.35	\$3,666.92	
06/06/2016	ZIOPHARM ONCOLOGY INC	98973P101	Sell	500.000	\$7.38	\$3,679.42	
06/06/2016	ZIOPHARM ONCOLOGY INC	98973P101	Sell	500.000	\$7.42	\$3,703.67	
07/15/2016	***HERBALIFE LTD COMMON STOCK	G4412G101	Purchase	12.000	\$65.22	\$782.64	
07/15/2016	***HERBALIFE LTD COMMON STOCK	G4412G101	Purchase	38.000	\$65.14	\$2,483.31	
07/15/2016	***HERBALIFE LTD COMMON STOCK	G4412G101	Purchase	50.000	\$68.56	\$3,435.99	
07/15/2016	***HERBALIFE LTD COMMON STOCK	G4412G101	Purchase	100.000	\$70.08	\$7,015.99	
07/15/2016	***HERBALIFE LTD COMMON STOCK	G4412G101	Purchase	100.000	\$69.51	\$6,958.99	
07/15/2016	***HERBALIFE LTD COMMON STOCK	G4412G101	Purchase	100.000	\$65.39	\$6,547.49	
07/15/2016	***HERBALIFE LTD COMMON STOCK	G4412G101	Purchase	100.000	\$64.20	\$6,427.99	
07/15/2016	***HERBALIFE LTD COMMON STOCK	G4412G101	Sell	50.000	\$64.78	\$3,231.06	
07/15/2016	***HERBALIFE LTD COMMON STOCK	G4412G101	Sell	100.000	\$65.71	\$6,562.86	
07/15/2016	***HERBALIFE LTD COMMON STOCK	G4412G101	Sell	100.000	\$64.61	\$6,452.86	
07/15/2016	***HERBALIFE LTD COMMON STOCK	G4412G101	Sell	100.000	\$65.06	\$6,497.56	
07/15/2016	***HERBALIFE LTD COMMON STOCK	G4412G101	Sell	150.000	\$67.08	\$10,053.79	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	50.000	\$17.86	\$893.00	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	66.000	\$17.98	\$1,186.67	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	91.000	\$17.96	\$1,642.53	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	93.000	\$17.89	\$1,663.77	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	100.000	\$17.98	\$1,797.60	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	100.000	\$17.96	\$1,796.50	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	100.000	\$17.97	\$1,796.80	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	100.000	\$12.90	\$1,290.00	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	188.000	\$24.05	\$4,529.39	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	200.000	\$12.89	\$2,585.99	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	200.000	\$12.93	\$2,586.00	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	212.000	\$23.98	\$5,091.75	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	400.000	\$24.04	\$9,623.99	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	400.000	\$24.10	\$9,647.95	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	500.000	\$13.47	\$6,743.99	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	600.000	\$18.63	\$11,185.99	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	1,000.000	\$16.67	\$16,682.79	

THIS PAGE IS NOT A SUBSTITUTE FOR FORM 1099 AND IS PROVIDED FOR INFORMATIONAL PURPOSES ONLY



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: Redacted 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

## 2016 INVESTMENT DETAILS

### DETAILS OF 2016 PURCHASES AND SALES

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Comments
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	1,000.000	\$13.77	\$13,782.79	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	1,200.000	\$20.65	\$24,787.99	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	1,200.000	\$20.62	\$24,754.39	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	98.000	\$17.27	\$1,684.43	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	99.000	\$12.38	\$1,217.60	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	100.000	\$18.00	\$1,799.96	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	100.000	\$12.35	\$1,234.97	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	200.000	\$17.40	\$3,471.93	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	202.000	\$16.16	\$3,256.25	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	300.000	\$17.61	\$5,274.89	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	301.000	\$12.34	\$3,714.25	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	400.000	\$17.41	\$6,961.84	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	500.000	\$16.37	\$8,176.83	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	500.000	\$16.44	\$8,211.83	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	500.000	\$18.06	\$9,021.81	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	500.000	\$12.38	\$6,181.87	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	500.000	\$12.47	\$6,226.37	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	500.000	\$12.29	\$6,138.47	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	600.000	\$21.67	\$12,993.72	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	600.000	\$18.00	\$10,791.77	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	600.000	\$17.80	\$10,673.09	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	600.000	\$18.04	\$10,812.77	
11/17/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	600.000	\$17.08	\$10,239.78	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	100.000	\$16.24	\$1,631.99	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	100.000	\$16.23	\$1,623.00	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	200.000	\$11.69	\$2,345.99	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	200.000	\$11.87	\$2,381.99	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	200.000	\$11.58	\$2,324.79	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	1,000.000	\$12.75	\$12,757.99	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	1,000.000	\$12.17	\$12,177.99	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	1,000.000	\$18.08	\$18,087.99	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	1,000.000	\$21.22	\$21,227.99	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	85.000	\$18.48	\$1,562.57	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	100.000	\$20.35	\$2,026.96	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	100.000	\$16.63	\$1,654.97	

THIS PAGE IS NOT A SUBSTITUTE FOR FORM 1099 AND IS PROVIDED FOR INFORMATIONAL PURPOSES ONLY



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: Redacted 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

## 2016 INVESTMENT DETAILS

### DETAILS OF 2016 PURCHASES AND SALES

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Comments
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	100.000	\$16.63	\$1,654.97	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	100.000	\$13.09	\$1,300.98	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	100.000	\$13.06	\$1,305.97	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	100.000	\$13.04	\$1,303.97	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	100.000	\$13.05	\$1,296.98	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	100.000	\$18.40	\$1,839.69	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	100.000	\$18.41	\$1,833.20	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	100.000	\$21.41	\$2,132.96	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	100.000	\$21.42	\$2,141.95	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	100.000	\$20.27	\$2,018.96	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	100.000	\$11.84	\$1,175.58	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	100.000	\$12.77	\$1,268.98	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	100.000	\$12.76	\$1,275.97	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	115.000	\$18.41	\$2,117.38	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	200.000	\$12.46	\$2,483.95	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	200.000	\$12.60	\$2,511.95	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	200.000	\$12.12	\$2,415.95	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	200.000	\$11.87	\$2,365.95	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	200.000	\$18.59	\$3,709.52	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	200.000	\$19.17	\$3,825.92	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	200.000	\$19.65	\$3,921.12	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	200.000	\$21.72	\$4,335.91	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	200.000	\$21.56	\$4,303.91	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	200.000	\$21.36	\$4,262.91	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	200.000	\$12.76	\$2,542.95	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	200.000	\$12.81	\$2,553.95	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	200.000	\$13.27	\$2,644.95	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	200.000	\$12.27	\$2,446.35	
11/18/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	200.000	\$11.92	\$2,375.95	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	52.000	\$12.00	\$624.00	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	100.000	\$12.06	\$1,213.59	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	100.000	\$12.06	\$1,205.80	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	200.000	\$11.92	\$2,392.89	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	203.000	\$12.05	\$2,446.15	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	245.000	\$12.06	\$2,954.68	

THIS PAGE IS NOT A SUBSTITUTE FOR FORM 1099 AND IS PROVIDED FOR INFORMATIONAL PURPOSES ONLY



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: Redacted 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

## 2016 INVESTMENT DETAILS

### DETAILS OF 2016 PURCHASES AND SALES

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Comments
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	800.000	\$9.74	\$7,789.12	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	1,000.000	\$12.53	\$12,535.39	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	1,000.000	\$12.35	\$12,353.79	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	1,000.000	\$10.83	\$10,834.19	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	1,000.000	\$9.23	\$9,236.79	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	1,200.000	\$9.74	\$11,695.99	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	2,000.000	\$11.32	\$22,655.99	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	3,200.000	\$10.69	\$34,215.99	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	10.000	\$10.97	\$101.70	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	10.000	\$10.63	\$98.26	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	100.000	\$9.32	\$924.38	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	100.000	\$9.60	\$951.99	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	200.000	\$12.07	\$2,405.95	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	200.000	\$9.66	\$1,923.16	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	200.000	\$9.66	\$1,923.16	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	200.000	\$9.72	\$1,936.36	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	200.000	\$9.81	\$1,953.16	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	200.000	\$9.71	\$1,934.88	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	300.000	\$12.28	\$3,675.92	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	300.000	\$12.27	\$3,672.92	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	300.000	\$12.37	\$3,702.92	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	300.000	\$12.37	\$3,702.92	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	300.000	\$12.23	\$3,660.93	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	390.000	\$9.59	\$3,733.74	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	400.000	\$12.22	\$4,879.22	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	400.000	\$9.60	\$3,839.91	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	500.000	\$9.62	\$4,803.30	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	700.000	\$12.54	\$8,769.81	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	700.000	\$9.31	\$6,519.65	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	790.000	\$10.62	\$8,386.37	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	800.000	\$9.30	\$7,431.92	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	800.000	\$9.26	\$7,402.96	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	800.000	\$9.50	\$7,595.28	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	1,000.000	\$9.58	\$9,576.20	
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	1,000.000	\$9.03	\$9,021.81	

THIS PAGE IS NOT A SUBSTITUTE FOR FORM 1099 AND IS PROVIDED FOR INFORMATIONAL PURPOSES ONLY



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: REDACTED 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092

Account Executive No: ET1

ORIGINAL: 12/31/2016

## 2016 INVESTMENT DETAILS

### DETAILS OF 2016 PURCHASES AND SALES

Date	Security Description	CUSIP	Transaction Description	Quantity	Price	Amount	Comments
11/21/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	1,000.000	\$9.07	\$9,061.91	
12/05/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	82.000	\$4.75	\$389.51	
12/05/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	500.000	\$4.76	\$2,380.00	
12/05/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	658.000	\$4.73	\$3,120.40	
12/05/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	760.000	\$4.74	\$3,602.48	
12/05/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	5,000.000	\$4.84	\$24,196.99	
12/05/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	200.000	\$4.68	\$935.97	
12/05/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	600.000	\$4.76	\$2,848.54	
12/05/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	800.000	\$4.69	\$3,743.92	
12/05/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	1,000.000	\$4.74	\$4,735.90	
12/05/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	1,000.000	\$4.76	\$4,751.90	
12/05/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	1,400.000	\$4.76	\$6,663.85	
12/05/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	2,000.000	\$4.75	\$9,491.80	
12/12/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	100.000	\$4.14	\$422.49	
12/12/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	1,900.000	\$4.15	\$7,894.50	
12/12/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	2,000.000	\$4.22	\$8,457.99	
12/12/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Purchase	2,000.000	\$4.23	\$8,477.99	
12/14/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	2,000.000	\$3.74	\$7,471.84	
12/15/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	1,000.000	\$4.49	\$4,481.91	
12/15/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	1,000.000	\$5.03	\$5,021.90	
12/16/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	100.000	\$6.14	\$605.49	
12/16/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	315.000	\$6.12	\$1,926.18	
12/16/2016	***DRYSHIPS INC COM PAR \$0.01 NEW	Y2109Q309	Sell	585.000	\$6.13	\$3,583.05	
11/23/2016	***EUROSEAS LTD COM	Y23592309	Purchase	100.000	\$3.03	\$311.03	
11/23/2016	***EUROSEAS LTD COM	Y23592309	Purchase	1,000.000	\$3.40	\$3,409.59	
11/23/2016	***EUROSEAS LTD COM	Y23592309	Purchase	1,000.000	\$3.18	\$3,183.79	
11/23/2016	***EUROSEAS LTD COM	Y23592309	Purchase	1,900.000	\$3.04	\$5,767.26	
11/23/2016	***EUROSEAS LTD COM	Y23592309	Purchase	2,000.000	\$2.98	\$5,963.99	
11/23/2016	***EUROSEAS LTD COM	Y23592309	Sell	1,000.000	\$2.86	\$2,855.94	
11/23/2016	***EUROSEAS LTD COM	Y23592309	Sell	1,000.000	\$2.86	\$2,851.94	
11/23/2016	***EUROSEAS LTD COM	Y23592309	Sell	1,000.000	\$2.86	\$2,851.94	
11/23/2016	***EUROSEAS LTD COM	Y23592309	Sell	1,000.000	\$2.86	\$2,848.44	
11/23/2016	***EUROSEAS LTD COM	Y23592309	Sell	1,000.000	\$2.85	\$2,837.24	
11/23/2016	***EUROSEAS LTD COM	Y23592309	Sell	1,000.000	\$2.84	\$2,836.24	



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: Redacted 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092  
Account Executive No: ET1  
ORIGINAL: 12/31/2016

### 2016 OTHER DISTRIBUTIONS & CHARGES DETAILS

#### DETAILS OF 2016 DISTRIBUTIONS & CHARGES

Date	Security Description	CUSIP	Transaction Description	Amount	Comments
01/26/2016	FROM 12/26 THRU 01/25 @ 8.690%		MARGIN INTEREST CHARGED	\$0.05	
02/26/2016	FROM 01/26 THRU 02/25 @ 8.690%		MARGIN INTEREST CHARGED	\$17.98	
07/26/2016	FROM 06/26 THRU 07/25 @ 8.190%		MARGIN INTEREST CHARGED	\$35.79	
08/26/2016	FROM 07/26 THRU 08/25 @ 8.690%		MARGIN INTEREST CHARGED	\$3.86	
<b>Total Margin Interest</b>				<b>\$57.68</b>	



E\*TRADE SECURITIES LLC  
PO BOX 484  
JERSEY CITY, NJ 07303-0484

Account No: [REDACTED] 8290  
Account Name: ROBERT B LADD  
Taxpayer Identification Number: \*\*\*-\*\*-0092  
  
Account Executive No: ET1  
  
ORIGINAL: 12/31/2016

**END OF 2016 DETAILS**